

CAUT/ACPU

BULLETIN

DECEMBER/DECEMBRE 1965

A Publication of

publié par

L'ASSOCIATION CANADIENNE DES PROFESSEURS D'UNIVERSITE
THE CANADIAN ASSOCIATION OF UNIVERSITY TEACHERS

VOLUME/TOME 14

NUMBER/NUMERO 2

CANADIAN ASSOCIATION OF UNIVERSITY TEACHERS

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December/Décembre 1965

Volume/Tome 14

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Published four times a year in October, December, February, and April.
Publié quatre fois par an: en octobre, décembre, février, et avril.

Subscription rate: \$2.00 per year / Abonnement: deux dollars par an.

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Ottawa, Ontario.

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Advertising Office / Bureau de publicité, 34 Bater Ave., Toronto, Ontario.

Printed by / Imprimé par Hunter Printing London Ltd., London, Ontario.

Authorized as second class mail by the Post Office Department, Ottawa, and for
payment of postage in cash.

PRESS RELEASE

19 October 1965.

The Canadian Association of University Teachers today released the text of a resolution which was unanimously adopted by the Executive and Finance Committee of the Association at its week-end meeting. The resolution deals with the recent recommendation of the United Baptist Convention of the Atlantic Provinces that in future all faculty members of Acadia University be professed Christians. If implemented, such a recommendation would introduce a form of religious test for prospective members of the faculty of Acadia University. Much opposition has already been raised to this recommendation, led by the faculty of Acadia University, the Associated Alumni of Acadia University, and others interested in preserving intellectual integrity and academic freedom.

The text of the CAUT resolution is as follows:

WHEREAS the United Baptist Convention of the Atlantic Provinces on August 27, 1965, recommended that in future all faculty members of Acadia University be Christians, and

WHEREAS such a recommendation, if implemented, would constitute a violation of the intellectual integrity and academic freedom essential to the well-being of the university community and to the common good,

BE IT THEREFORE RESOLVED that the Executive and Finance Committee of the Canadian Association of University Teachers condemns efforts to introduce discrimination in the hiring of university faculty on the basis of religious affiliation and strongly supports the faculty of Acadia University and the Associated Alumni of Acadia University in their attempts to have such efforts repudiated.

Copies of the resolution have been forwarded to the United Baptist Convention, to the Honourable Robert L. Stanfield, Premier and Minister of Education of the Province of Nova Scotia, to the President and faculty of Acadia University, and to the Associated Alumni of Acadia University.

COMMUNIQUE DE PRESSE

le 19 octobre 1965.

L'Association canadienne des professeurs d'université a fait parvenir aujourd'hui le texte d'une résolution endossée à l'unanimité par les membres de son bureau de direction, lors de la réunion de la fin de semaine dernière, afin de protester contre la récente recommandation de l'United Baptist Convention of the Atlantic Provinces qui insiste pour qu'à l'avenir tous les professeurs de l'Acadia University soient de foi chrétienne. La mise en application d'une telle recommandation aurait pour conséquence d'instituer une certaine forme de profession de foi aux nouveaux membres du corps professoral de l'Acadia University. Cette recommandation a déjà suscité de vives protestations de la part des professeurs de l'Acadia University, de l'Associated Alumni of Acadia University et d'autres qui s'imposent pour défendre les principes d'intégrité intellectuelle et de liberté académique.

Voici le texte de résolution de l'A.C.P.U.:

ATTENDU QUE, l'United Baptist Convention of Atlantic Provinces, dans sa déclaration du 27 août 1965, recommandait qu'à l'avenir tous les professeurs de l'Acadia University soient de foi chrétienne, et,

ATTENDU QUE, une telle recommandation, si mise en application, constituerait une violation des principes d'intégrité intellectuelle et de liberté académique, essentiels au bien-être de la communauté universitaire et au bien commun,

EN CONSEQUENCE DE QUOI, il est résolu que le bureau de direction de l'Association canadienne des professeurs d'université désapprouve toute mesure qui verrait à introduire une forme quelconque de discrimination dans l'emploi des professeurs, sur la base de foi religieuse et appuie fortement les professeurs de l'Acadia University et de l'Associated Alumni of Acadia University dans leur tentative de voir réprouver de telles pratiques.

Des exemplaires du texte de cette résolution ont été envoyés à l'United Baptist Convention, à l'honorable Robert L. Stanfield, Premier ministre et Ministre de l'Éducation de la province de Nouvelle-Ecosse, au président et aux professeurs de l'Acadia University et à l'Associated Alumni of Acadia University.

THE EARLY YEARS OF AAUP ORIGINS OF THE ASSOCIATION

(Reprinted from *AAUP Bulletin*, June 1965)

By Walter P. Metzger

It is always a pleasure to speak to colleagues on an anniversary, and it is a special privilege to do so at a moment when past and present leaders grace the company and well-wishers gather from afar. I am not unaware that the conviviality of such reunions can breed vain-glorious illusions, such as the belief that an organization, just by aging, confirms its effectiveness and worth. The truth, sad to say, can be less attractive: an organization can be a tortoise; it can achieve longevity by avoiding accidents; it can grow up sluggishly in a shell. But I do not fear that we are about to count our blessings merely by totalling up our years. For one thing, we can be sure that we are in the midst of celebrating something more than the petty victory of survival. That the AAUP is old but not senescent is affirmed by its recent gains in membership—over 70 per cent in the last decennium; that its 66,000 members is a striking total is affirmed by the fact that this society, unlike other professional associations, neither penalizes those who do not join it nor monopolizes the loyalties of those who do. Never distinguishing between insiders and outsiders so as to make affiliation a prudential tactic, never trying to become a polarizing force in order to solidify allegiances, the Association gets its growing multitudes by dint of its professional and restrained appeal. Venerableness plus vitality is the happy impression that this feat creates.

There is another reason why we shun peacockishness—it offends the academic style. Whether because they are trained to be skeptical or because they are born to be cantankerous, professors in association do not readily succumb to group conceit. Characteristically, the letters printed in the *Bulletin* are of the critical, not congratulatory, variety; typically, the conversational emphasis in committees is on mending operational deficiencies; symptomatically, the response of the Association to its impending jubilee was to set up a committee to survey itself. As it describes the organization's personality, so this spirit, it seems to me, defines the requirements of this occasion; and it is in

WALTER P. METZGER, Professor of History at Columbia University, is writing a history of the American Association of University Professors. His address was presented at the Association's fiftieth anniversary banquet on April 9, 1965.

this spirit that I have set myself the obligation, not of dwelling on our key accomplishments, but of surveying certain less well-realized aims. No one can doubt that, in the area of academic freedom and tenure, the Association has accomplished more than outsiders had expected of it, almost as much as it had expected of itself. To appraise the significance of that accomplishment, one need only conjure up the consequences of its absence. How weary, stale, flat and (above all) unprofitable would be the dialogue on academic freedom! How much more often would it be heard in Gothic circles that a professor, at odds with his employer, has the academic duty to be silent or the academic freedom to depart! How much more widespread would be the practice of hiring teachers by the year, after no matter how many years of service! Or of holding them on indefinite appointments whose primary characteristic is that they are indefinite! Or of removing them in literal accord with ordinances that embody the non-Freudian pleasure principle! And how much less we would all know about the tie between freedom and tenure, the tension between law and morality, without the half-century of case experience that is the AAUP's great didactic gift! But all of this goes without saying, and cannot be said without boasting; to keep to the right side of the line between collective pride and collective puffery, I shall address myself to other things. Turning from the fiftieth year to the first one, I shall describe the professional situation that gave rise to the founding of the Association—a situation which despite its archaic features bears significant resemblances to our own. A number of aims that inspired the founding were lost or pursued half-heartedly in the years that followed: I shall indicate why I think this occurred. Finally, and very briefly, I shall apply the lessons of this history of frustrated effort to the challenges that the AAUP confronts today.

* * *

In 1913, a professor taking stock of his profession was bound to be struck by the changes that had taken place within his lifetime, very possibly within the span of his own career. One change was glaring and momentous: American higher education, which had long been a pinched and small-scale enterprise, had recently undergone immense expansion. It had enjoyed enormous economic gains: between 1883 and 1913, while the national income had quadrupled, the income of colleges and universities had multiplied almost eleven times. There had been a considerable increase in student numbers: the percentage of persons of college age enrolled in collegiate institutions had more

than doubled in those 30 years. In addition the size of academic units had greatly expanded: a score of the largest universities enrolled as many students in 1913 as had all the colleges of the country in 1870.

The inner corollary of this external growth was a vastly more diversified curriculum. For more than two centuries the American colleges had placed their students on a restricted diet of classical languages, Protestant metaphysics, rhetoric, logic, and mathematics, natural and moral philosophy, and a smattering of physical science. Now and again, new dishes had been added to their Spartan table, but on the whole, up to the era of expansion, the American academic system had clung to the limited fare that its meager resources afforded, its classical bias defended, and its religious interest endorsed. Then, rather quickly, under the impetus of wealth, it commenced to increase its offerings, partly by incorporating the *dejecta membra* of medicine, law, and engineering; partly by introducing new technical and commercial lines; partly through subject differentiation, whereby old disciplines generated many new. The tangible sign of the new diversity was the bulging size of the college catalogue—the annual announcement of the impending banquet; the ultimate triumph of the new diversity was the widespread adoption of the elective system—the growth of consumer discretion in the face of a multiplicity of choice.

Inevitably, changes in the academic setting set off changes in the academic calling. Traditionally, the American academic work-force had been derived from religious and pietic sources. After the transforming years, the bulk of new academic manpower came from secular agencies, especially from the new American graduate schools. For ages, the American professoriate had been intellectually homogeneous: possessing a common fund of knowledge, each member had (figuratively) spoken the same language and had (literally) spoken the same languages. With the broadening of the curriculum, the American professoriate became intellectually heterogeneous: each member took a fragment from a growing storeroom, and each fragment had a different code. The third change was probably the most important, for it bore on the very purpose of the calling. From the time of the founding of the primal colleges, the main function of professors had been to teach. On this, there had been no distinction between one sort of professor and another, one type of institution and another. As late as 1869, Charles W. Eliot, on assuming the Harvard presidency, had said that "the prime business of American professors . . . must be regular and assiduous class teaching." By 1908, however, the same

authority had come to believe that appointment and promotion in his institution should depend as much on the record of published works as on pedagogical capacity. Reflected in this change in the reward-system was the arrival of research-oriented institutions, the foremost expression of the expansion impulse. Though not the typical institutions of higher learning, the Harvards, Chicagos and Johns Hopkinses had become the paragon institutions of higher learning, and the magnetism of their presence had enlarged professional ambitions and had redefined institutional success. Teaching, even in these greater places, was not outmoded—this generation of research professors spent many hours at the lectern—but the pure and simple pedagogue, even in the lesser places, could no longer regard himself as exemplary. Now the high examples all agreed that it was as much in keeping with the profession's purpose and an even more severe testing of the self to discover as well as to transfer knowledge, to submit to the judgment of one's peers as well as to the judgment of one's pupils.

Measuring the rapidity of these changes, the academic person in 1913 might have concluded that no other occupation in America had ever passed in so brief a period from the historic to the nearly new. So, too, might he have concluded that change had brought about improvements, that the profession as a whole had risen, in consequence of having been reborn. There could be no doubt that secularization, specialization, and the new premium placed upon research improved the status of the profession, both in its domestic ranking and on the competitive world exchange. Secularization turned what had been a collateral career of easy access into one that had to be specifically prepared for and that therefore enjoyed a higher standing. The division of intellectual labor abolished the old omnibus commands—those chairs of “mental and moral science, history and belles lettres”—which, in emphasizing range at the expense of mastery, had often stultified their incumbents. Thanks to the research-oriented institutions and the scientists and scholars they assembled, we were no longer an academically backward people who had to go to the Germans for edification, the way the Romans once went to the Hellenes. Further proof of elevation was provided by the increased use of professors as consultants, especially by public agencies. In 1913, the number of professors thus employed was not yet large, and their services were more technical than creative. But the fact that they were engaged at all marked an important change in public attitudes. The new academic specialist had come to be regarded as an expert. The older academic

know-it-all had seldom been able to convince society that he really knew enough.

Yet, to many a contemporary witness, the changes incident to expansion did not seem to offer unmixed blessings. On the contrary, the dominant mood of 1913 was somber, vexed, and, above all, critical. "Everything about the college," wrote Henry S. Pritchett of the Carnegie Foundation, "is under the fire of the critics—its government, its teaching, its financial conduct, its ideals of social life, its right to exist at all." "Our universities," wrote Edwin Slosson, "are under fire right now from many quarters"—and he proceeded to contribute to the fusillade by assailing the graduate program for its wavering standards and misspent energies. Curiously, some of the most unsparing critics were professors, and the harshest of these were among the highest placed. Growth and transfiguration, far from creating a sense of summer, seemed to usher in a winter of discontent.

One manifestation of this discontent illustrates the complexity of its sources. In the spring of 1913, a letter signed by eighteen full professors on the faculty of the Johns Hopkins University was sent to persons of equal rank at nine other leading universities, urging them to join in the formation of a national association of professors. The letter stated that the specialized interests of academics were served by the disciplinary societies, but that their institutional and societal interests, which were equally important and pressing, were not being adequately cared for; and that for this purpose an ecumenical society was required. Many of the recipients agreed. Committees of eminent professors were formed to advance the project; 650 persons, chosen for their prominence in their disciplines, accepted the invitation to become charter members; in January, 1915, at a convention of academic luminaries, the American Association of University Professors was born. Probably the favorable response to the Hopkins "Call" owed something to the illustriousness of its audience: having moved beyond the boundaries of their campuses, the top professors were more likely to be aware of broad professional interests and to feel an academic consciousness of kind. But the success of the Hopkins "Call" owed just as much to the restiveness of its audience, to its sense that the advantages of expansion had been overlaid with liabilities, especially at the major institutions. Three such liabilities were given special emphasis in the published articles, minutes, and correspondence. Some members felt that the increase in the number of professors was debasing academic standards: growth, they said, brought attenuation. Some

felt that the enlargement of academic units had given undue power to administrations: growth, they said, fostered usurpation. And some felt that greater worldliness and greater wealth tended to compromise the academy: growth, they said, made academic freedom more vulnerable than before to covert aggression. Without overschematizing these conceptions, one might say that each touched a different professional requirement—quality, authority, security—and implied a different organizational objective—self-improvement, self-government, self-defense. I shall say little of the third conception, though in the end it was the one that triumphed. I shall focus, rather, on the other two, not only because they constituted options for an association in the making, but also because they related to important aspects of a world that had suddenly been remade.

Census figures gave the self-improvers great disquiet. In 1883, academic teaching in America had been an exiguous occupation of only 13,000 members; in 1913 when 40,000 persons could be so identified, membership in an academic faculty, whatever else it connoted, no longer conferred the distinction of rarity. Extraordinary as had been the over-all rate of growth, it was surpassed by the percentage increase of the faculties of the major institutions. Starting in 1883 with fewer than 50 on their rosters, Yale, Wisconsin, and Cornell arrived at the end of the period with 450, 520, and 750 faculty members, respectively. Nor had any sign been given that the creation of new offices was about to slacken: if anything, the constant fragmentation of knowledge and the yearning of each firm for a full display foretold the coming of yet more massive faculties. As late as 1911, for instance, Harvard augmented its faculty by ten per cent; the next year, its appetite unabated, it increased its rolls by another tenth. At this level of operation, the growing demand for personnel implied a growing demand for high abilities, and this caused a growing concern about the quality of professional recruitment (the procurement of adequate resources) and the character of institutional appointments (the use of the available supply).

Much of the concern about recruitment centered on the inadequacy of the rewards, especially the pecuniary rewards, with which the profession bid for the nation's talents. In 1908, a comprehensive survey of academic salaries, published by the Carnegie Foundation, gave statistical backing to the old impression that professors were grossly underpaid. To be sure, the survey also indicated that not every professor was abjectly poor. At the four highest-paying institutions

(Harvard, Columbia, Stanford, and C. C. N. Y.) the average salary of a full professor had climbed to the \$4000 level; at the five highest-bidding institutions (Harvard, Columbia, Cornell, Chicago, and Pennsylvania), the maximum salaries of full professors had gone to \$5000-\$8000 peaks. But the study also indicated that very few professors were allowed to take hold of these summit prizes; that at a hundred institutions with the highest payrolls, the average starting salary of a full professor was no more than \$2500; that in the least munificent institutions, many veteran professors, earning less than \$2000, were continuing the time-dishonored practice of subsidizing their institutions by their own impoverishment. And the study had not even tried to raise the veil on the earnings of instructors and assistant professors which, by one contemporary estimate, came to 30 per cent and 50 per cent of the incomes of full professors in the major places. Pointing out that the value of every stipend had been depreciated by a general rise in the cost of living, that the value of the more liberal stipends was diminished by the generally higher cost of urban living, that even the best paid professors earned little more than a minor officer in a railroad company and less than a lawyer and doctor of comparable experience, the Carnegie study made one inference unavoidable: only a nondescript capability would follow the scent of such mean rewards. A second inference could be drawn by professors with an eye to paradox: there had been an expansion of the academic plant but no expansion of the academics' pocketbook; progress co-existed with poverty and made poverty less necessary and less just.

The reappraisals of the graduate schools that became common after the turn of the century also darkened the recruitment vista. The judgment of Irving Babbitt that the scholarship of the graduate schools was "a disaster to the whole of higher culture," or the allegation of William James that graduate students represented the "unfit in the academic struggle for existence," could be discounted as the hyperbole of the total enemy. But many who had once been champions of the enterprise also came to be offended by what Dean Andrew Fleming West of Princeton called its "provincialization of learning," its "de-humanization of scholarship," and its general "lowering of tone." To some extent, the new hostility of erstwhile friends reflected the spoilage of a purist hope. Originally intended to train scientists and scholars for the research-oriented institutions, the graduate school had acquired a second purpose—to stock the teaching-centered colleges with a sufficient number of Ph.D.s to meet the requirements of

accreditation and to satisfy their yearning for *éclat*. The effect seemed to be, on the one hand, a *pro forma* adherence to research by trainees for whom that requirement was irrelevant; and, on the other hand, a less rigorous pursuit of research by trainees for whom the program had been designed. Moreover, mixed purposes seemed to tolerate mixed materials: it was the view of F. J. E. Woodbridge, the Columbia philosopher, that graduate students came from a cultural milieu that provided "no uniform preparation" and that hence in their turn they created "no common intellectual atmosphere of study and inquiry." It also appeared that the graduate schools, like the undergraduate schools, were becoming increasingly utilitarian. When Johns Hopkins had stood lonely on Olympus, the graduate curriculum had been confined to theoretical science and linguistic scholarship; since then, with the intrusion of graduate courses in clinical psychology, pedagogy, and agriculture (degree programs in physical education had not yet come but were in the offing), vocationalism had been married to research enthusiasm, and the results were no longer "pure." In addition to diversification, multiplication fostered a sense of loss. There were 50 graduate schools in 1913. True, four-fifths of them were small and together granted only a quarter of the Ph.D.s. Still, with the entry of each parvenu competitor, the large established institutions would complain about the feckless dispersion of research talent, the intensified rivalry for graduate fellows, the debasement of the currency of the Ph.D. by uncontrolled and unceasing issue. Thus, from a variety of starting-points, many came to the depressing conclusion that the training institutions of the profession were failing to meet their obligations and that the academic generation then in training was less than adequate to a heightened need.

Admission to academic practice means passage through the gateway of appointment: the manner in which the gate was guarded also generated wide concern. It had long been noted in the profession that where the trustees took the initiative in appointments, favoritism, nepotism, and sectarianism were likely to infect the admission process. On this score, the major institutions according to a study made in 1910, left very little to be desired: here the principle of trustee forbearance, which was primary assurance against a spoils system, had already firmly taken root. But it was generally understood in the profession that the governors of certain church-related colleges and certain state institutions in the South and West still played an active role in choosing faculties. Moreover, even in the major institutions,

faculty participation in the selection process—which was also essential to an effective merit system—had not yet been universally assured. The 1910 survey indicated that presidents might, under certain circumstances, act alone in recommending candidates; that the chairmen of departments, who were generally the appointees of the president, might be the only faculty members consulted in the process; and that even under more consensual arrangements, there were numerous opportunities for collision between the faculty's right of suggestion and the administration's right of final choice. If the limits on faculty participation were seen as one hindrance to sound appointments, the limits on faculty information were regarded as an equally grave impediment. In an expanding academic market, bidders and seekers tended to lose contact with one another. At the level of junior appointments, this problem had been in part resolved: conventions of the learned societies had already been institutionalized as employment centers where graduate students seeking offers, like marriagable females at a party, were presented by their sponsors to the wooing side. It was, however, decreed by academic custom that the better vacancies should not be advertised and that the senior candidacies should not be publicized; and the effect of this protocol of reticence was a narrowing of the pick on the one side and a diminution of chances on the other. How many men of potential ability went unrecognized because of the irrationality of the market it would not now be possible to discover. But the sense that there were many unsung Miltons grew sharper as the spread of the Ph.D. requirement drew men of front-line aspirations into institutions of the lagging type.

Beyond the decision to appoint lay the critical decision to promote, and a number of professors were convinced that it too was excessively fallible. In order to compensate for the shortage of seasoned scholars and lessen the salary costs of growth, the bulk of new posts created during expansion had been of the subaltern variety that implied a limited term of service and provided a lower rate of pay. Between 1869 and 1908, the proportion of full professors on the nation's faculties had shrunk from two-thirds to one-fifth, whereas the proportion of instructors and assistant professors had gone up from one-fifth to one-third. The crowding of the bottom ranks had been even more pronounced in the major institutions: in 1908, instructors and assistant professors made up three-quarters of the faculties of Harvard, Wisconsin, Yale, and the University of California. One result of the filling of the faculties with beginners, engaged but not irrevocably

elected, was the routinization of a system of probation, i.e., the choosing of personnel in a two-part action—one at the point of intake, the other prior to retention, following a period of trial. In theory, the probationary system offered the novice the advantage of an internship and the institution the benefit of a closer look. In practice, according to certain critics, the system worked with perverse effect. This was the finding of Guido Marx, an engineering professor at Stanford, with a sympathetic interest in the academic journeyman, who studied the lot of the assistant professor at twenty major institutions in 1910. The composite portrait that emerged from his study was that of a not-so-young probationer oppressed by the burdens of the low-rank life. The typical assistant professor had entered the portals as an instructor at the age of 27; had been promoted to his current rank at 31; and was still waiting for the next elevation at the rather advanced age of 38. Typically, his primary function was to relieve his seniors of the burden of elementary instruction and the tedium of examination grading; at the same time, he was obliged to carry on his own research in order to qualify for promotion. But, typically, he did not know when that promotion would be considered, since the length of the probationary period had not been stipulated, and the ultimate decision, when arrived at, was likely to be made by the department head, whose judgment might be capricious but whose recommendatory word was often law. Designed as a means for preserving standards at a time when too many major openings were seeking too few proven men, the system, according to Professor Marx, exploited and retarded apprentice scholars in the very years when they were asked to reveal their worth.

Many of the professors who had lamented the trend in quality were prominent in the early councils of the Association and they filled its provisional agenda with a variety of proposals for reform. Some would have had the professional association take hold of professional education: conceding to the AAU, the agency of graduate school administrators, no squatter rights in this domain, they proposed that the AAUP should standardize graduate requirements, eliminate duplication of effort, encourage student peregrination, foster cooperation in the award of fellowships, and even accredit—and discredit—the graduate schools in line with the therapeutic precedent that had recently been set by the AMA. Some would have had the Association reduce the irrationality of the market by setting up an employment agency. Some would have had the Association impose on a chaos of

practices one professionally-endorsed appointments system. Some would have had the Association cope with the malfunctions of the probation system: limited and fixed periods of service, a lighter burden of instruction, the democratizing of departmental management were among the remedies proposed. Only a small number wanted the Association to deal with the issue of salaries: here, fear of the trade union label, plus certain lingering inhibitions inherited from a cleric past, interposed early hesitations. There was no agreement among these members as to which task should take priority and there were few tasks on whose importance all of the members agreed. But it cannot be doubted that, when massed together, the advocates of self-improvement constituted a majority of the founding body. Certainly, this group had no shortage of celebrities, as the names of John Dewey, John H. Wigmore, Basil Gildersleeve, and E. R. A. Seligman will attest.

I would fail to give a rounded picture if I left out the one proposal on which there was very broad agreement—that the Association should promulgate and enforce a code of professional ethics. This proposal, though separate from the concerns I have mentioned, summarized the implicit biases of this contingent: its desire to emulate the achievements of the paragon associations in law and medicine; its wish to ready the profession for greater and more responsible public tasks; its belief that the guild had grown too large and too heterogeneous to be governed by the restraints of an informal etiquette. In 1914, the outlines of a possible code were sketched by Howard C. Warren, one of the leading promoters of the Association. It was the view of the Princeton psychologist that "the functions of the new Association should by no means be confined to the relations between faculty and corporation. Indeed," he went on to say, "its most promising work seems to be in other fields. The adjustment of the relations between professor and student, between scholar and the world at large, and between scholar and scholar come distinctly within its province." Ignoring the bureaucratic context, Warren could more easily equate the ethical problems of the academic with those of the self-employed professional, particularly the medical doctor. On the relation of the professional to society, the medical code declared that it was the doctor's duty to contribute to public health; the academic code might follow suit and enjoin professors to contribute to the public's enlightenment. The medical code opposed the patenting of medical discoveries; the academic code might take a stand against the patenting of scientific discoveries. Concerning the relations of the professor to the

student-client, Warren mentioned only one ethical perplexity: should the professor have exclusive title to the fruit of a collaborative effort? Here the medical analogy might have raised other mooted questions: should professors, like doctors, regard the confidence of their clients as inviolable? Should professors, like doctors, temper instruction with discretion when confronting uninitiated minds? Under the third heading—the relations between professional and coprofessional—Warren cited several issues for which the medical field supplied analogies. He believed that the professors' code might prohibit "undignified pleas for advancement in one's own behalf" (the medical code frowned on self-advertisement), and that it might protect "the junior members . . . from undue exactions by their superiors" (the medical code commended mutual civility). Finally, he thought the academic code might determine whether "a professor in good standing should accept a chair from which a colleague has been removed without a trial." The latter proposition, which recalled the non-supplantation clause in the doctor's canon, raised (though it did not answer) the question of whether the academic profession might properly ethicize a protective boycott. Nothing was said by Warren about the question of enforcement, but the implication was that the Association, like the medical *beau ideal*, would impose its sanctions on an erring member and not simply codify pious saws.

* * *

When we turn to the interest in self-government we confront a more passionate and coherent, and a much more controversial, aspiration. Early in the twentieth century, a group of publicists and professors began to revitalize a cause that had long lain dormant in this country—the right of the members of the faculties to govern or manage their institutions. Not since the 1820's when a number of Harvard professors had sought vainly to regain control of their Corporation, had academic self-government been a lively topic; and never before had the quest for guild autonomy acquired the characteristics of a movement—a widely recognized leader, specific organs of propaganda, an inflamed and inflammatory rhetoric, a class-conscious if rudimentary ideology. The leader was J. McKeen Cattell, head of a famous psychological laboratory at Columbia, editor of *Science* and *Popular Science Monthly*, founder and one-time president of the American Psychological Association. The involvement of this academic factotum in the movement did much to increase its volubility. He himself was a tireless propagandist; by opening the pages of his journals to those

who shared his disaffections, he inspired much Jacobinic writing; following his lead and in his style, there was an outpouring of articles in the calmer journals from those who felt the insurgent itch. In 1913, Cattell brought many of these articles together in a book called *University Control*, the one book to which Thorstein Veblen acknowledged his indebtedness in his *Higher Learning in America* (original subtitle: *A Study in Total Depravity*). Whatever its merits and demerits, this literary genre did not suffer from understatement. These authors compared the faculty under the current system to a citizenry "disenfranchised" in its own republic, to a group of "place-seekers and placeholders" dancing attendance on a monarch, to a populace cowering under a tyrant's heel. Or, using more homespun but equally splenetic metaphors, they likened the condition of the professor to that of the "humblest clerk in a department store," to a mariner on a ship that others piloted, or—simply—to a "hired hand." At the same time, these authors were confident that the professor, despite his current degradation, had the skill and appetite to govern. All that could truthfully be said about the inaptitude of the professor for administration they ascribed to the perniciousness of his environment; most of the managerial tasks that were said to require nonacademic talent they regarded as fit details for clerks. Perhaps in viewing the professor as debased and as simultaneously touched with grace, in describing academic government as both autocratic and susceptible to drastic change, these authors were asserting contradictions. If so, theirs was the contradictoriness on which ideologists seeking power always thrive.

It would be tempting, but quite fallacious, to dismiss the movement as the artifact of a very few difficult personalities. It is quite true that the leaders of the movement were incessant grumblers. On the basis of their biographies, one might revise the adage to read: those who would destroy the gods are first made very mad. Joseph Jastrow of Wisconsin, a leading ideologue of insurgency, had had disputes over his salary with his administration before he announced that the faculty should be the judge of its own rewards. George T. Ladd, the Yale psychologist, wrote his first brief for faculty autonomy (called "The Degradation of the Professorial Office") while in the thick of a battle to protect his own professorial office. And the campus brawls of the lieutenants paled in comparison with the running battles between the leader of the movement and the head of his academic institution. Between the imperious Nicholas Murray Butler and the caustic and choleric Cattell, conflict was almost unavoidable: a presi-

dent who could sneer at the faculty's "assumption of infallibility" and a professor who could call his president an "autocrat" in direct address were ripe for war without much goading. It was probably not an accident that Cattell's earliest statement favoring faculty control coincided with Butler's inauguration, and there is little doubt that when he called the typical president "a bronze statue of himself created by public subscription" he was sculpting the type from life. But not everyone can be said to have extrapolated a political science from a disagreeable personal experience. Consider, for example, the response of the thousand leading men of science to whom Cattell submitted his specific program. Intended more as a working-paper than a finished blueprint, the Cattell program called for the conversion of boards of trustees into quasi-public corporations elected by the faculty and community; the transformation of the president from an agent plenipotentiary of the board to an administrative functionary of the faculty, with salary and perquisites reduced accordingly; the cession of financial and educational control to an elected faculty Senate and a confederacy of small departmental states. On the strength of their confidential replies, Cattell concluded that the vast majority of the leading scientists supported his proposal. Probably not: less than a third of the group was heard from and silence must have meant dissent. Of the 299 respondents, 15 per cent liked things as they were, 22 per cent desired better mechanisms of consultation with minor structural changes, 63 per cent wanted radical reforms, but some of these seemed to think up model governments more in the spirit of a game than with the vehemence of mutiny. Nevertheless, a significant percentage did disclose that they disapproved of the existing order. Coming from what should have been the thanksgiving portion of the professoriat, these auricular statements of discontent proved that the leaders of insurgency spoke for something more than their private piques.

Notable in this literature of dissent, and a clue to its deeper meaning, was the special animosity it displayed toward the office and person of the president. Legally, the governing board was the fountain of authority; but the twentieth century insurgents, unlike their fore-runners, took as their fundamental premise that "the system is concentrated in the president" and they lavished an invective on the deputy that they seldom visited on the source. The choice of the penultimate target must, I think, also be perceived as a consequence of expansion. For more than two centuries, ligatures between the president and the faculty had been established by a shared religious

purpose, a common pedagogic function, a similar intellectual background and continuous face-to-face address. In the new age, this intimacy was disrupted. The laicizing of the presidency, which went along with the unfrocking of the faculty, destroyed the primitive cohesion that had been the gift of a religious aim. The new president abandoned teaching and research to concentrate on administration: the cleavage of academe into two vocations ended the harmony of a shared routine. Still a third factor sapped the old relationship: the introduction of bureaucratic methods into places that had once been governed *en famille*. With the transfer of administrative duties from the president to a registrar and comptroller, with the delegation of executive authority to a graded lieutenancy of deans, the relations of the president to the faculty became less direct and more impersonal. Separation, if it did not automatically create hostility, did create discrepant self-perceptions. In a pre-Elton Mayo environment, the president, perched atop a hierarchy, was likely to regard the faculty as subordinates to whom he could state wishes as commands. But the faculty, as it gained prominence in the specialties, was likely to regard the president, who was a specialist in nothing but administration, as organizationally very powerful but academically second-class. Given the tendency of the boards to relinquish initiative to the president, given the tendency of the status aspirations of the faculty to outrun status gains, the stage was set for that clash of expectancies, that divorce of legitimacy from power, that has troubled faculty-administration relationships to this very day.

Before the insurgent answer came, there were further fissures and disappointments. It may be noted that, down to the end of the nineteenth century, when it was necessary to transmute colleges into universities, no better instrument was at hand than the strong, ambitious, and prophetic president. While he fought his battles against entrenched conservatism, the president was deemed a useful person by members of the newly-constituted faculties who were themselves the symbol of his success. A radical assault upon his office could not be mounted until after the turn of the century, when the universities were well established, the generation of innovating presidents had been replaced by an epigoni of consolidators, and the charge of diminishing utility could be added to the grievances on the list. It may also be noted that many presidents, especially in the major institutions, sought to forge new ties through varied organizational devices. Much as they differed in tact and official circumstances, they recognized

the need to demarcate certain institutional provinces where the professional spirit could be accommodated and which the professional man could call his own. Thus, they recognized the classroom as the teacher's sanctuary and fenced it off from administrative patrol. Thus, too, they sponsored the organization of departments. In addition, they attempted to bridge the two vocations by installing mechanisms of consultation—faculty-administration committees to deal with educational issues, senates chaired by administrators to discuss university-wide concerns. When first installed, these devices promised to establish a working partnership in which the two groups, while differentiated as to function, might seem coordinate in importance and responsibility. Inevitably, however, such a promise ran into conflict with the realities of power and overriding organizational needs. The Balkanization of the faculty led to departmental rivalries which sometimes led to administrative intercession and the imposition of a fiat peace. The conferential program went just so far: major financial questions, which held the key to other questions, were usually excluded from the joint agendas; the foreign affairs of the institutions remained in the hands of administrators. Few collaborative committees ever developed such iron authority that they could never be bypassed by a president; few presidents acquired so much saintly patience that they always abided by committee processes. Presidential practices varied among different institutions: the president of wealthy Yale could better afford the luxury of slow debate than the president of crisis-ridden Clark; the president of tradition-bound Harvard had less freedom of evasive manoeuver than the president of traditionless Chicago. But nowhere was perfection achieved: even at Yale and Harvard, the president would occasionally violate the letter or the spirit of a joint procedure in order to accomplish a key result. The extent to which a professor became cynical about these myriad small and large corruptions was a good measure of his insurgent quotient: Cattell and his cohorts concluded that the entire purpose of placing faculty members on committees was to mire them in trivialities and make them seem ludicrous even to themselves.

At some point a movement turns to organization: this point was reached by the insurgent movement in 1913. Encouraged by the response to his questionnaire, Cattell (three months before the Hopkins "Call") wrote that the time had come "to form an organization of professors" that would cope with "the problem of administration." He did not undertake to organize the project on his own—and this

was just as well, for his reputation as an *enfant terrible* would have frightened off many genteel souls. But once the project was launched, he worked to evangelize his colleagues and to help to make it a success. The early lists of the Association show that all of the prominent insurgents enrolled, presumably to effect the change they desired in the relations of the leaders and the led.

* * *

What happened to these pre-natal interests? On paper, they continued to exist post-partum. In the first year, the Association set up only one committee—that on academic freedom and tenure—which acquired alphabetical supremacy. But the second year's flowering of committees gave full recognition to self-improvement: thus, Committee B, on Appointment and Promotion; Committee C, on Recruitment of the Profession; Committee D, on Classification of Universities and Colleges; Committee H, on Migration of Graduate Students; Committee I, on University Ethics. The interest in self-government was acknowledged when Committee T was established in 1916, with J. A. Leighton of Ohio as chairman and J. McKeen Cattell (still of, but soon to be separated from, Columbia) a not inconspicuous member. However, it was not until after the war that this committee stated its position and by that time, it had not only lost Cattell but something of the latter's fierce guild complex. The pronunciamento issued in 1920 did not demand a reconstitution of the board or the elimination of the president as an academic power. On the other hand, it did retain some of the flavor of insurgency. It called for direct and unmediated communication between the faculty and the board of trustees, the nomination of the president by this duumvirate, the delegation of primary control over educational policy to the faculty, and (lest this be a shadow without substance) the participation of the faculty in all budgetary decisions that bore, even indirectly, on the teaching role. The final proof that the young Association remained true to the full range of parental concepts can be found in the establishment of two more committees: Committee P on Pensions, which was set up to cope with the sudden termination of the Carnegie system of free annuities, and Committee Z on Economic Conditions, which was set up in response to the sharp inflation that struck the profession after the war.

But it would not be a distortion of the truth (nor, I trust, an injustice to the many years of committee effort) to say that the AAUP, certainly down to the end of its first four decades, accomplished very

little in these arenas. In 1956, an objective observer would have had to conclude that the AAUP was Committee A, to all practical and apparent purposes. Only Committee A had used the weapons that had been proved both acceptable and efficacious: exposure through investigation, shaming by explicit naming, the promulgation of codes that are negotiated into compacts with administrators. After issuing its manifesto, Committee T lapsed for a decade, was revived in the middle-Thirties, surveyed the scene and found it wanting, sank out of sight and then emerged again—an indestructible spirit, but a totally invertebrate ghost. Committee P helped the TIAA improve its pension system, but Committee Z, a fact-collecting body, merely proved through anonymous statistics that professors were being repeatedly immiserated by further inflations and a great depression. The committee on appointments and promotions turned out to be one of the weakest of the central organs; a professional placement bureau was established and then abandoned after several years; a code of ethics was never formulated. The first dozen annual meetings were given over to educational discussions; afterwards, the conventions addressed themselves to other things. Such concrete effects as were recorded in the realms apart from Committee A were largely ricochets from its endeavors. Thus, the Association did not do much directly to improve the working conditions of probationers; but it did do much to reduce and standardize the length of the probationary period, this by way of defending tenure. It did not use effective weapons to increase the participation of professors in the legislative processes of the university, but it did use its entire arsenal to increase the participation of professors in the judicial processes of the university, this to bolster academic freedom. In 1956, such a summary view of what had happened to the original triad of possibilities would have lacked only one important nuance: the influence of the local chapters, and their vast, but difficult to appraise, good works.

It could be argued, with superficial persuasiveness, that only one of the triad of possibilities ever had a reasonable chance of working; that history, like nature, chooses the most perfectly adapted forms. A Darwinian argument of inevitability might go as follows: of the three interests growing out of expansion, only one—the interest in self-protection—could survive the pressures of expansion. The desire to make the profession more selective, more duty-conscious and more refined could not avail against the economic forces that were making it more distended and complex. Conceivably, the professors, taking a

page from the doctors' book, might have resorted to licensing controls to sift abilities and reduce the flow. Perhaps it would have occurred to some of them to try to do so, had they conceived themselves as teachers and nothing else. In a sense, teaching is the analogue of healing: however subtle as an art, it lends itself to specifications of minimal requirements of skill and training. But the professors' commitment to research led to the inhibiting assumptions that, since inquiring minds are not interchangeable, each academic inquirer is unique; that, since science can never have enough practitioners, there can never be too many academic jobs; that exclusiveness must be the product of unique achievements and not of exclusionary acts. With the tendency to grow thus left immutable, the urge to improve could not take effect. Self-government, the argument might proceed, was also impeded by persistent growth. Growth introduced institutional complexities that made for ever more complex modes of management; growth produced an opulent poverty that made colleges illustrious spongers and presidents indispensable beggars; growth made professors more ambivalent about assuming administrative responsibilities which they perceived both as a privilege and a cross. On the other hand, the interest in self-protection accorded well with a growing universe: greater numbers merely amplified the call for enlightened neglect and job security; investigations of suspect dismissals touched professional evils singly, not en masse.

Or one might argue that the problem of standardization, which must be solved before there can be codes and compacts, was soluble only in the freedom-tenure area. To standardize is to simplify, quantify, and reduce exceptions. Committee A was able to simplify the principle of academic freedom by stressing its prohibitory aspects; to quantify the norm of tenure by giving it an arithmetic basis; to universalize the concept of due process by deriving it from a legal culture in which it had already been universalized. But it was not possible, so the argument might run, to extend this accomplishment to other areas. Against Committee A's simple decalogue of "shalt-nots" its seven-year rule for probation, its encompassing rule of due procedure, place the infinite varieties of sin that will have to be governed by a code of ethics, the incommensurableness of salaries and of the paying capacities of institutions, the subtleties of faculty-administration relations, where custom counts more than legislation and spirit more than form. The elusiveness of the neglected issues might thus provide a second argument for the view that what happened, had to be.

The clock restrains me from developing at length what I regard as a sounder explanation—namely, that the atrophy of original aims was the result of a series of historic accidents. To do no more than list what deserves full explication, I would mention the fact that an unprecedentedly large number of academic freedom cases broke out in the Association's natal year; that Professor Arthur O. Lovejoy, the chief protagonist of self-protection, made use of his secretarial office to involve the Association in these cases, he himself being the chief and sometimes sole investigator; that his reports were models of their kind, the monumental products of a truly magisterial intelligence; that the publication of these reports immediately publicized the Association as the avenger of academic crimes, and led to further calls for intervention; that the new inquiries, though selectively undertaken, strained the resources of a small and exclusive body that could afford only one part-time paid official; that, in time, the Association had to lower its admission standards to enhance its income, with the result that it became even more responsive to appeals from the less privileged and more embattled set; that, as it evolved from an elite to a mass society, the Association began to deal with complaints in a routine, rather than *ad hoc*, fashion; that work of the guardian variety, as it appropriated the energies of the Association, tended to close off initiatives in other areas—e.g., in the field of academic ethics (the tendency of a defense psychology is to ignore or extenuate in-group flaws) and in the field of academic government (it would have been provocative and undiplomatic to have pressed for legislative prerogatives while negotiating with administrators over freedom rights). More can be said about the adventitious sequence, but this is enough to argue against predestination. Nor can it be maintained that the momentum of accident followed a course of least resistance. Committee A did not deal with always tractable realities. The dissociation of tenure from rank and its linkage to years of service—a critical move toward standardization—was not effected by Committee A until 1940, and then over administrative resistance; despite the general claims that were made for freedom, the denominational institution was never brought under a covering law. Moreover, as the recent efforts of Committee Z and Committee T make clear, there was no reason why the other subject areas could not be rationalized, given the requisite energy and will. In the last revivifying decade, Committee Z, under the guidance of Professor Fritz Machlup, evolved a salary-rating scheme that improved the comparability of remunerations, held all institutions to a single standard, and measured performance by familiar grades; Com-

mittee T, also reborn in that fertile decade, resumed the task of codification with imagination. Once ingenuity tamed complexity, it became possible for these Committees to improve their armories: Committee Z now exposes through self-inquiry and capitalizes on the power of invidiousness by naming and rating institutions; Committee T now exposes through external inquiry and is working toward an inter-party pact.

* * *

Mention of the work of the revived committees gives me a hopeful cue on which to close. Once again, we are in an epoch of immense expansion. Once again, we have reason to be concerned about the erosion of the better by the more, about the quality of our training centers, about the use and overuse of probationers and the new use of tenure-excluded persons, about all sorts of ethical problems ranging from the right of professors to neglect their students to their right to use them in dismissal controversies, about the decision-making role of professors in institutions that have grown even more complex. It is true that we are limited by the paradox of disapproving the excesses of expansion while accepting the permanence of expansion. But three points must be borne in mind, lest we yield to the pessimistic doctrine that a growing world must defy our will. The first is that the organization has been the beneficiary of *this* expansion, and is now rich and large enough to establish programs that were heretofore merely paupers' dreams. The second point is that the gains of Committee A have created, if not a benign existence, at least a plateau of security from which other ventures can be launched. The third point is that nature abhors a vacuum. We can be sure that the question of allocation of resources between cyclotrons and classrooms, the question of the uses of subfaculties, the question of sanctions for professional impropriety will be answered, if not by the organized professors, then by those who dealt with them before—the possessors of material and legal power. But I am persuaded by signs of current animation that the Association has begun to spread its compass just as many had hoped it would 50 years ago. Fifty years from now, the historian of the Association may well be able to refer not only to a century of consistent progress, but also to a provident middle-course return.

STATUT DU PROFESSEUR: CONDITIONS DE VIE ET DE TRAVAIL

par Viateur Bergeron et André DesMarais

Le statut du professeur, la liberté académique, la stabilité d'emploi (tenure) et le gouvernement universitaire sont régulièrement l'objet d'articles, de discussions et de commentaires dans le milieu universitaire de 1965.

A la suite du rapport Soberman, nous avons été appelés à lire une assez volumineuse documentation (1) et à entendre le témoignage de plusieurs personnes qui nous ont exposé leur point de vue sur ces questions, notamment sur le statut du professeur en regard du gouvernement universitaire et de la sécurité d'emploi des professeurs d'université.

Section première:

Le statut du professeur et le gouvernement de l'université:

Le statut du professeur, ses conditions de vie et de travail peuvent être très fortement différents selon l'expérience des hommes chargés de l'autorité dans une université où le professeur est appelé à travailler à la recherche et à l'enseignement.

Nous tenons à répéter, après beaucoup d'autres, que le gouvernement ou l'administration d'une université doit être très largement

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(1) Nous désirons citer en particulier les ouvrages ou textes suivants:

- *A Place of Liberty*, Ed. Whalley, Toronto: Clarke, Irwin and Company Limited, 1964.
- *Bulletin de mars de l'A.C.P.U.*, vol. 13, no. 3 (mars 1965) en particulier, l'article du professeur Soberman sur la stabilité d'emploi et les commentaires sur cet article, sans oublier ceux de l'ex-président de l'A.P.U.O., Me Donat Pharand.
- D'autres articles du Bulletin de l'A.C.P.U.
- "Le rôle du Recteur dans l'université moderne" par Léo Dorais (*Le Devoir*, 13 novembre 1963.)
- "Responsabilité collective des universitaires" par Mgr Louis-Albert Vachon, recteur de l'université Laval (*Les Presses de l'Université Laval*, Québec, 1964).
- "Contradictions et Biculture" par Pierre Dansereau (*Les Editions du Jour*, 1964)

confié à des universitaires avertis qui ont fait ou qui font carrière à l'université, et qui, par conséquent, connaissent bien les personnes et les problèmes du milieu. Il y a parmi les professeurs d'université d'excellents et de mauvais administrateurs comme dans toutes les professions et catégories de personnes données.

Le professeur doit réaliser que la meilleure sauvegarde de sa liberté et de son épanouissement comme universitaire lui sera assurée à la condition d'être dans une maison où les membres du personnel académique peuvent atteindre aux plus hautes fonctions administratives, que ce soit au sein d'une faculté, au sein du conseil d'administration ou au Bureau des gouverneurs de l'institution.

De cette participation active du professeur à la vie et à la marche de l'université dépend dans une très large mesure son *statut social* et son statut au sein même de l'institution où il dépense sa vie.

Il est urgent que les professeurs réalisent que leurs responsabilités ne se restreignent pas à donner ou à répéter de bons cours; sans oublier leur devoir de faire avancer leur discipline par la recherche et l'observation de la vie concrète, les professeurs devraient comprendre qu'ils se revaloriseraient aux yeux de tous en participant *activement* à la vie de la société qui les entoure. En particulier, il nous apparaît essentiel que le professeur d'université endosse partiellement, ou au moins à l'occasion, les responsabilités de ses confrères (dans la même discipline) engagés dans l'industrie, le commerce, les affaires, l'administration publique ou l'exercice des diverses professions.

Quand les gouvernants et la société en général auront constaté que les professeurs d'université peuvent "*fonctionner*" dans la société sur le même pied que les hommes d'affaires, les industriels et les autres professionnels, les autorités gouvernementales en particulier ne craindront pas de permettre aux universitaires d'accéder aux plus hautes fonctions à l'intérieur de l'université.

Les universités, tout comme les industries et les entreprises commerciales, apprendront peut-être alors à former leurs propres cadres et à les conserver au sein de l'institution. Prenons un exemple: un professeur après plusieurs années d'enseignement et qui aurait gravi un à un les échelons administratifs de sa faculté devient alors doyen; pour des raisons diverses, notamment la fin de son terme d'office, cet universitaire hésitera souvent, dans le contexte actuel, à retourner à l'enseignement pur et simple: sa cote sociale y perdrait alors

plusieurs plumes. Par ailleurs, si cet universitaire, doublé par les circonstances d'un administrateur, *est véritablement compétent* dans ces deux domaines, ne serait-il pas un sénateur de premier choix, un gouverneur idéal, un administrateur d'université tout à fait désigné?

Le statut du professeur dépend dans une très large mesure des gouvernants de l'université; en effet, l'élaboration de ce statut et l'assurance qu'il sera respecté, non seulement selon la lettre mais selon une véritable conception universitaire, repose sur les qualités des autorités et leur connaissance concrète de la vie et du milieu universitaires.

Il n'y a pas de doute que les structures de l'université doivent permettre au professeur de faire son apprentissage des responsabilités administratives; ce dernier doit être et doit se sentir solidaire de sa faculté et de son institution. Si les professeurs d'université ne veulent pas être traités comme de simples employés d'une grosse entreprise, ils doivent participer à la direction de la maison et ils doivent prendre leurs responsabilités en conséquence.

Celui qui n'a jamais ou qui n'accepte jamais de responsabilités est ou devient irresponsable; ce caractère apparaît contraire à la vocation d'un homme dans une institution de haut savoir et pourtant . . .

Section deuxième: Stabilité et sécurité d'emploi

L'observation de la vie universitaire actuelle pose de sérieux problèmes dans ce domaine qui devient chaque jour de plus en plus important. Après avoir exprimé quelques réflexions et nous être interrogés sur le système actuel, nous tenterons de proposer des solutions.

Par premier: Constatations et définitions

Il y a lieu de distinguer nettement entre la *stabilité d'emploi* (tenure) et la *sécurité d'emploi*; il faudrait peut-être rappeler que la liberté académique, sans être la résultante des deux premières, y est quand même étroitement liée.

On fait toujours grand état de la liberté académique; mais, au concret, qu'est-ce que cela veut dire, et quelles sont les relations entre la liberté académique d'une part, et la stabilité et la sécurité d'emploi du professeur, d'autre part?

L'ex-président de l'A.P.U.O., Me Donat Pharand, dans un commentaire publié dans le bulletin de mars 1965 de l'A.C.P.U., fait

très bien ressortir les distinctions à apporter dans ces relations. En particulier, il soulève la question suivante: Le professeur qui jouit de la permanence ou de la stabilité d'emploi (tenure), tout comme celui qui n'en jouit pas, ne doivent-ils pas tous deux posséder la même liberté académique? Il fait ensuite ressortir trois des aspects de la liberté académique:

"First, the university professor as a professional or expert in this field should be free in his pursuit of truth and in the transmission, oral and written, of his findings. Second, as a member of the university community, he should be free to express his views on university government for its improvement and to permit him better to perform his duties as professor. Third, as a member of the community at large, he should be free to express his views on matters of public concern and to participate in community affairs, in the interests of the common good and of his students who will thus be spurred on by living example to become leading citizens".

Il semble évident que le professeur permanent peut jouir de la liberté académique à la condition qu'une procédure adéquate de renvoi soit instituée et suivie.

Mais bien différent est le problème du jeune professeur désireux de faire carrière à l'université et qui, inévitablement, ne jouit pas de la permanence ou de la stabilité d'emploi (tenure).

Quelles que soient les relations entre la liberté académique et la permanence, nous croyons pouvoir affirmer, en ce qui concerne le jeune professeur sans permanence, qu'il ne jouit *juridiquement* d'aucune liberté académique garantie. Si un employeur peut remercier un subordonné sans lui donner de raisons d'aucune sorte et sans avoir à répondre de ses actes à personne, la liberté du subordonné nous apparaît être une pure illusion et une simple vue de l'esprit; concrètement il n'y a pas de *liberté assurée*.

La discrétion quasi totale dont jouissent les autorités des universités nous apparaît dangereuse, car elle laisse la porte toute grande ouverte à l'arbitraire et à l'injustice.

Ce système nous apparaît désuet dans le monde du travail de 1965, mais il trouve *encore et* malheureusement de nombreux et de féroces défenseurs dans les universités. Qu'il nous soit permis de douter que la recherche de la Vérité, mission traditionnellement attribuée à l'université, puisse s'accommoder d'un tel régime.

Ajoutons à cela des structures qui ne permettent pas toujours des correctifs rapides et efficaces, et nous comprendrons facilement qu'à l'heure où les universités ont un besoin criant de personnel académique qualifié, beaucoup de jeunes compétents et ayant une riche personnalité cherchent ailleurs une carrière plus alléchante parce que mieux rémunérée, carrière qu'ils sacrifieraient peut-être si l'université leur offrait un plus grand prestige et de meilleures garanties d'avenir.

Le système actuel nous semble avoir brisé ou mis fin à la carrière de beaucoup plus de jeunes professeurs que les statistiques ne pourraient le démontrer. Que chacun songe aux jeunes qu'il a connus, qui s'orientaient vers l'université ou qui ont débuté à l'université, et qui brusquement ont pris une autre orientation; que l'on recherche les raisons profondes de ces revirements et de ces départs, et nous croyons que ces raisons en surprendront plusieurs.

Comment peut-on concilier cette règle d'une mise à pied sans raison aucune, et simplement subordonnée à un avis raisonnable, avec les exigences normales des universités relativement aux qualités personnelles et à la préparation du candidat au professorat? Une préparation exigeant de nombreuses années de travail peut être mise en échec par un avis de congé de trois mois (ordinairement considéré comme raisonnable).

Peut-on penser que le système actuel soit défendable et ne produise pas des effets désastreux pour l'université et la société? N'y a-t-il pas un danger que ce régime n'engendre des effets de la nature de ceux qui nous ont été parfois rapportés:

- 1° permettre un recrutement beaucoup moins sérieux chez les jeunes ou les nouveaux professeurs; la facilité de congédier permet d'être moins scrupuleux lors de l'engagement.
- 2° empêcher le recrutement de jeunes qui devraient être recrutés; le régime de l'emploi universitaire ne peut soutenir, dans bien des cas, la concurrence des autres secteurs de l'activité humaine qui font appel aux jeunes diplômés.
- 3° briser la carrière des jeunes universitaires qui ont une personnalité valable; ces derniers ne s'accommodent pas longtemps d'un tel régime; ils risquent d'être remerciés ou s'en vont avant de l'être.
- 4° permettre à une catégorie de personnages médiocres, souvent sans beaucoup de perspective et surtout très dociles, de persévérer dans la carrière universitaire; ce n'est pas à quarante ans que l'on peut

se réveiller et commencer à exprimer des idées personnelles et indépendantes, quand on a été élevé dans un régime qui ne les tolérerait pas, sauf à cet âge et une fois la stabilité d'emploi conquise; d'ailleurs, dans un tel système il y a toujours quelque autre faveur à gagner en continuant de garder le silence ou en acquiesçant docilement aux désirs des autorités, même quand ces désirs sont contraires à l'intérêt véritable de l'institution ou des étudiants qui la fréquentent.

5° empêcher la formation de cadres vraiment capables de diriger l'université de façon efficace. L'art d'administrer ne s'apprend-t-il pas par un long et libre cheminement dans une institution ou une entreprise?

6° former des "patrons" d'autant plus autoritaires, cassants et sans nuances, que ces mêmes "patrons" étaient les plus dociles subordonnés; toute critique leur ayant été prohibée, ils font ensuite la même défense à ceux qui sont sous leur direction. La démocratie, n'est-ce pas à la jeunesse qu'il faut l'apprendre et la faire vivre, avec ses libertés et ses responsabilités?

Voilà quelques-uns des effets dont on parle et que l'on attribue au régime de l'emploi universitaire actuel, chacun peut voir jusqu'à quel point ces situations existent ou non dans sa propre université.

Il nous semble essentiel que le jeune professeur jouisse de la liberté académique telle que définie par le professeur Pharand (cf. *supra* et Bulletin de l'A.C.P.U., mars 1965, p. 82). Pour cela, il faut lui assurer un maximum de sécurité d'emploi, sans pour autant l'installer dans une sinécure. La façon d'y arriver, sans lui donner la permanence, c'est de prévoir des modes de solution des conflits qui pourraient survenir; c'est aussi de lui donner la garantie qu'il ne sera jamais la victime d'un renvoi ou d'un remerciement qu'il jugerait arbitraire parce qu'il n'en aurait pas reçu une explication valable (par exemple à la suite de conflits de personnalité ou de problèmes mineurs d'ordre administratif ou autre).

Il nous apparaît important de distinguer le renvoi d'un professeur, de son remerciement à la fin d'une année académique. En effet, le renvoi concerne toujours un professeur qui possède la permanence ou jouit d'une permanence limitée par son contrat d'engagement.

Qu'il s'agisse du renvoi d'un professeur permanent à n'importe quel moment ou du renvoi d'un professeur avant l'expiration de son

contrat d'engagement, il nous semble que le régime et la procédure de révision du renvoi doivent être alors identiques, peu importe le statut du professeur concerné.

Nous envisageons donc deux systèmes de contrôle des décisions des autorités universitaires selon qu'il s'agit de réviser un renvoi, tel que défini plus haut, ou une décision de non-reconduction de contrat, que nous appellerons remerciement.

Qu'il s'agisse d'un renvoi ou d'un remerciement, nous proposons que ces décisions soient soumises aux mêmes organismes, selon la même procédure de révision. Par ailleurs, si l'on doit apporter une différence de traitement entre les cas de renvoi et les cas de remerciement, il nous semble que cette différence doit porter sur les modalités d'application de la procédure prévue et la juridiction des organismes de révision.

Section deuxième: Solutions proposées

Nous désirons faire d'abord un parallèle entre la procédure d'engagement et celle qui devrait être utilisée dans le cas d'un renvoi ou d'un remerciement. Nous exposerons en second lieu des propositions relatives à la révision de ces dernières décisions.

I - Procédure précédant la décision de renvoi ou de remerciement.

Les renvois et les remerciements devraient comporter les mêmes précautions et consultations préalables que les engagements.

L'engagement d'un professeur se fait ou devrait se faire de la façon suivante. Le doyen ou le directeur de département (s'il y a des départements) avertit ses collègues de l'ouverture d'un poste de professeur, avant même de rechercher des candidats, afin de permettre aux professeurs en place de poser leur candidature. Après cette première étape, le doyen ou le directeur de département annonce le poste laissé vacant. Les candidatures soumises sont étudiées par le doyen ou le directeur avec ses collègues. Si le poste est ouvert dans un département, la décision prise à ce niveau sera l'objet d'une recommandation au doyen de la faculté en conseil. Dans ce cas, comme dans celui où il n'y a pas de départements, la recommandation du doyen en conseil est ensuite transmise aux autorités compétentes de l'Université, qui normalement devraient soumettre les candidatures à un comité spécial du personnel enseignant, sous la présidence d'un assistant immédiat du président ou recteur de l'université.

Le renvoi d'un professeur, ou son remerciement, devraient se faire selon la même procédure. C'est à l'intérieur de cette procédure, et à chacune de ses étapes: directeur de département, doyen, comité du personnel enseignant, que le professeur doit être entendu, ou dûment convoqué, accompagné selon son choix d'un délégué de l'Association des Professeurs (2), afin que les médiations nécessaires puissent avoir lieu.

Il est évident que de nombreux cas seront réglés grâce au système de médiations que nous venons d'exposer; cependant, dans certains cas, le renvoi ou le remerciement sera prononcé par le Bureau des Gouverneurs.

C'est à ce stade que le professeur pourra faire appel aux organismes de révision.

II - Révision de la décision de renvoi ou de remerciement.

Qu'il s'agisse de renvoi ou de remerciement, nous proposons la création des deux organismes déjà décrits par Me Donat Pharand dans son article du Bulletin de l'A.C.P.U. (13 (3): 83, mars 1965), et nous citons:

"The Investigating Committee would have as its function to investigate the charge against an accused professor in order to determine whether a prima facie case for dismissal exists, i.e., whether sufficient evidence exists to warrant a full-hearing of the charge by the Hearing Committee. Primarily a fact-finding body, the Investigating Committee might be composed of three members appointed respectively by the Administration, the Professor's Association, and the accused professor." (3)

"The Hearing Committee would be the quasi-judicial body whose function would be to hear fully all the evidence relating to the charge and to decide on the sufficiency of the evidence to warrant dismissal. Should the Committee decide that the evidence is not sufficient to warrant dismissal, the Board of Administration would be bound to retain the professor. Should the Committee decide, however, that there is sufficient evidence for dismissal, the Board would have the

(2) On a suggéré qu'une liste de médiateurs agréés à la fois par l'Association des professeurs et l'Administration soit publiée chaque année.

(3) Nous proposons que la compétence de ce comité ou de cette commission d'enquête soit élargie et modifiée cf. infra: A. Commission d'enquête, (f) 2. compétence de cette commission.

option either to dismiss the professor or to exercise its prerogative of clemency to impose a lesser punishment. The formal decision to dismiss or retain the professor would always rest with the Board of Administration."

"The Hearing Committee might be composed of three appointed members different from those on the Investigating Committee. An equitable composition of the Hearing Committee might be as follows: An appointee of each of the Administration and the Professors' Association and a joint appointee of the Administration and of the Professors' Association, who would be chairman. The appointment of the chairman, someone from outside the institution and preferably a member of the legal profession, would be made only after consultation with the C.A.U.T. Because the Hearing Committee is a quasi-judicial body, the accused professor should not have the right to appoint a member. To prevent the Administration from having an equal voice in the appointment of the Hearing Committee members would, in my opinion, be unrealistic and perhaps even unfair." (4)

Il est à noter que Me Pharand restreint le recours à ces organismes aux renvois de professeurs jouissant de la permanence (tenure); nous proposons par ailleurs que le recours à ces organismes soit ouvert aussi bien au professeur qui jouit de la stabilité d'emploi (tenure), qu'au jeune professeur renvoyé avant l'expiration de son contrat ou remercié au terme de ce dernier.

Nous désirons insister sur le fait que le recours à ces organismes, tel que nous le proposons, ne créera aucune difficulté quant au nombre de professeurs qui voudront utiliser ce recours, à la condition formelle que les renvois et les remerciements soient décidés selon la procédure que nous avons exposée, procédure qui assure la médiation nécessaire à chacune des étapes hiérarchiques de l'acheminement du cas jusqu'aux autorités supérieures de l'université.

D'ailleurs, dans le but de ne pas alourdir la machine administrative de l'université par des organismes de contrôle dont l'action pourrait être excessive et paralysante, nous proposons en parallèle les modalités d'application du système de révision, selon qu'il s'agit de renvoi ou de remerciement.

(4) Ces nominations conjointes par l'Administration et l'Association des professeurs assureront à ces corps beaucoup plus d'autorité et garantiront à leurs membres une plus complète immunité.

A. Commission d'enquête

RENVOI

a) Sujets

Tous les professeurs à titre permanent (tenure) et les professeurs non permanents renvoyés en cours de contrat.

b) Motifs

Pour tous:

1. Incompétence académique (incluant l'inefficacité pédagogique);
2. Négligence dans l'exercice des fonctions;
3. Inconduite grave ou turpitude morale;

Pour remerciement seul:

4. Tout autre motif jugé valable.

c) Avis et allégation des motifs

Obligatoirement allégués dans l'avis de renvoi.

Allégation des motifs dans l'avis de remerciement non obligatoire; cependant, les motifs devront être donnés sans délai, par écrit, sur demande écrite du professeur.

d) Délais d'avis

Professeur permanent:
6 mois

Avis de non-reconduction de 3 mois précédent la date de renouvellement (celle-ci devrait être la même pour tous les contrats, quelle que soit la date d'engagement).

Professeur non-permanent:
3 mois

e) Révision de la décision

- Sur demande expresse du professeur concerné.
- La demande devrait être adressée concurremment au secrétaire de l'université et au président de l'Association des professeurs.

f) Commission proprement dite

Dans un délai d'au plus dix jours de la réception de la demande de révision, une commission d'enquête doit être formée à la diligence du président de l'Association des professeurs.

1. Composition de cette commission

Cette commission doit être indépendante et jouir d'une immunité totale.

Les trois membres de cette commission seront nommés respectivement par l'Administration, l'Association des professeurs et le professeur concerné.

2. Compétence de cette commission

La commission doit colliger des documents relatifs au litige, recueillir et consigner tous les faits et témoignages pertinents, constituant ainsi le dossier de l'affaire. La commission procède ensuite à rendre un jugement en fonction des statuts et règlements en vigueur à l'université et à la faculté concernée; la commission devra aussi tenir compte des traditions universitaires, interprétées à la lumière de l'équité et du sens commun, sans oublier les termes du contrat pour les professeurs non permanents.

Après avoir ainsi apprécié le litige, la commission formule des recommandations précises qu'elle soumet aux parties en cause dans son rapport principal, et ceci dans un délai d'au plus trente jours de la date de sa formation.

Les parties en cause doivent communiquer à la commission d'enquête, dans un délai de dix jours de la date de la signification du rapport, leur acceptation ou leur refus des recommandations.

Sur réception de la réponse des parties concernées, la commission d'enquête leur signifiera, dans un délai de deux jours, et à titre de rapport final, une copie des réponses de l'une et l'autre des parties.

Dans un délai de quinze jours de la date du rapport final, les parties pourront en appeler à la *commission d'appel* lorsque le motif de renvoi ou de remerciement est l'un ou l'autre des suivants:

- 1° Incompétence académique (incluant l'inefficacité pédagogique);
- 2° Négligence dans l'exercice des fonctions;
- 3° Inconduite grave ou turpitude morale.

Dans les autres cas, les recommandations de la commission d'enquête seront considérées comme finales par les parties concernées (à toute fin pratique, la plupart des cas de remerciement).

3. Procédure de cette commission

Dans la préparation de son dossier, la commission entendra les témoins individuellement et à huis clos; les témoignages devraient être pris au moyen de la sténographie et une transcription remise à chacun des membres de la commission. Les témoins pourront, s'ils le désirent, être accompagnés d'un conseiller juridique (5). Quant au contre-interrogatoire des témoins, il sera fait, au nom des parties, par les membres de la commission.

La commission devra entendre tous les témoins susceptibles de l'éclairer, et obligatoirement les témoins désignés par écrit par l'une ou l'autre des parties; les témoins seront entendus, sur convocation de la commission, au lieu, date et heure qu'elle déterminera. Chacune des parties qui a contribué à la formation de la commission sera tenue d'assurer sa collaboration et de faciliter par tous les moyens l'audition des témoins.

La commission devra assurer aux témoins, pour toute communication écrite ou orale, l'immunité et l'anonymat. Au début de son rapport, la commission devra donner la liste des témoins, mais devra éviter de rattacher aux faits dont elle fera l'analyse le nom de l'un ou l'autre des témoins.

Nous considérons que la commission devrait présenter son rapport dans la forme suivante:

- 1° Liste des témoins entendus (6);
- 2° Documents publics relatifs au litige;
- 3° Analyse et résumé des faits pertinents (anonymat des témoins);
- 4° Appréciation du litige (cf. supra: compétence);
- 5° Recommandations;
- 6° Signature des membres de la commission en leur qualité officielle.

(5) Nous suggérons que le conseiller soit membre d'un Barreau provincial, car seuls les avocats en exercice peuvent garantir de façon absolue le secret professionnel aux parties et en particulier au professeur concerné; légalement, l'avocat peut toujours refuser de répondre à toute personne ou à toute cours de justice en soulevant l'objection du secret professionnel et cette objection sera reconnue.

(6) Dans certains cas, il sera aussi nécessaire de taire le nom de certains témoins; on se contentera alors de mentionner que d'autres témoins au nombre de . . . ont également été entendus par la Commission.

4. Commission d'Appel

Nous n'avons pas l'intention d'élaborer un système complet et détaillé, relativement à la Commission d'Appel. De nombreuses propositions ont été faites à ce sujet, qui nous semblent, dans l'ensemble, très satisfaisantes.

Nous référons en particulier à l'article de Me Pharand (Bulletin de l'A.C.P.U., 13 (3): 83, 1965), et nous citons:

"The Hearing Committee would be the quasi-judicial body whose function would be to hear fully all the evidence to warrant dismissal. Should the Committee decide that the evidence is not sufficient to warrant dismissal, the Board of Administration would be bound to retain the professor. Should the Committee decide, however, that there is sufficient evidence for dismissal, the Board would have the option either to dismiss the professor or to exercise its prerogative of clemency to impose a lesser punishment. The formal decision to dismiss or retain the professor would always rest with the Board of Administration".

"The Hearing Committee might be composed of three appointed members different from those on the Investigating Committee. An equitable composition of the Hearing Committee might be as follows: an appointee of each of the Administration and the Professors' Association, and a joint appointee of the Administration and the Professors' Association, who would be chairman. The appointment of the chairman, someone from outside the institution and preferably a member of the legal profession, would be made only after consultation with the C.A.U.T. Because the Hearing Committee is a quasi-judicial body, the accused professor should not have the right to appoint a member. To prevent the Administration from having an equal voice in the appointment of the Hearing Committee members would, in my opinion be unrealistic and perhaps even unfair".

Quant aux procédures et aux principes qui devraient être suivis, nous renvoyons le lecteur à l'article du professeur Soberman (Bulletin de l'A.C.P.U., 13 (3): 37-73, 1965), et nous sommes d'accord sur les règles suivantes, énoncées dans cet article:

- 1° Avis au professeur des accusations et des lieu et heure de l'audience.
- 2° Droit pour le professeur de comparaître à l'audience et de faire face à ses accusateurs.
- 3° Droit des parties à un avocat.

- 4° Droit au contre-interrogatoire.
- 5° Droit à une transcription complète des témoignages.
- 6° Jugement écrit avec exposé des attendus.

Nous recommandons que les procédures devant cette Commission d'Appel soient conduites à huis clos et suivant les mêmes règles que devant les tribunaux ordinaires, pour les motifs suivants:

1° Etant donné la nature de l'université, son rôle et son prestige dans la société, il nous apparaît préférable d'éviter la publicité sur ces cas.

2° Il faut assurer au professeur ré-installé des conditions de travail et de vie aussi acceptables que possible.

3° Le huis clos ainsi proposé laissera aux témoins une plus grande liberté d'expression et contribuera à assurer leur immunité.

4° Les autorités susceptibles d'être condamnées accepteront plus facilement un jugement défavorable s'il n'est pas public.

CONCLUSION

Il ne fait aucun doute que les procédures de congédiement répondent à un besoin pressant des universités, à l'heure où les postes à remplir se multiplient et où le nombre de candidats valables diminue. Aussi bien l'université doit-elle se protéger, autant le professeur compétent doit-il être à l'abri d'erreurs administratives ou de jugements subjectifs, les facultés et départements étant après tout régis par des hommes, sages bien sûr, mais ne jouissant pas du privilège de l'infailibilité. Nous n'avons pas la prétention de croire que nos propositions représentent les seules solutions valables au problème des congédiements; nous nous sommes cependant efforcés de les intégrer aux structures administratives généralement en vigueur. Nous espérons qu'on y trouvera suffisamment d'éléments susceptibles d'application.

THE WORK OF A UNIVERSITY TEACHER IN SOUTH AFRICA

By Edgar H. Brooks

It has been suggested to me that members of the C.A.U.T. might be interested to know what it is like to be a University teacher in South Africa, and I respond gladly to the suggestion. Obviously what will be of greatest interest is the difference between Canadian and South African University life. Part of this difference would exist anyhow. Part springs from the racial tensions in South Africa and the attitude of the Government towards the Universities. Let me deal with the non-political differences first.

The standards of South African Universities are reasonably high, but in total numbers all of them fall short of the Canadian or American norm. A University of 7,000 students would be regarded as a very large University in South Africa. Canadian and American methods of organizing teaching have not so far influenced South Africa much, except in the Faculties of Agriculture the Professional staffs of which have largely had their education in the United States. The biggest single influence in the South African Universities has been Scotland. Despite the presence of many Oxford and Cambridge graduates on University staffs, Universities have not tried to follow the examples of the two historic English Universities. In the Afrikaans-medium Universities there has been a conscious effort to copy the Universities of Holland and Germany; but everywhere, even there, the influence of Scottish pioneers in University education has been very strong. An ordinary English-medium University (and of these there are four—Cape Town, the Witwatersrand (Johannesburg), Rhodes (Grahams-town) and Natal is much like a good provincial University of the "Redbrick" type, modified by Scottish influences, and very unlike a Canadian or American University.

Partly as a result of these Scottish influences the Lecture plays a much more important role in South African than in Canadian Universities, and the Seminar correspondingly less. A number of shorter essays would be, in general, more common than the "term paper". Seminars are held, of course, and in some subjects Tutorials: there

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would be more of the latter if Government grants were raised sufficiently to permit more appointments within University Departments.

For in general South African Universities depend to a great extent, indeed too much, on State subsidies. The University of Cape Town is a little better endowed than the others, but millionaires are few in the present-day Republic and no University is financially independent of the Government.

The organization of a student's curriculum is based on subjects rather than individual short courses (e.g. History, Course II rather than Course 421, the History of North America up to 1865.)

The larger role of the Lecture means that Professors do not get to know their students in the class-room so well as they do when Seminars and Tutorials bear a larger part. This contact depends to a greater extent on the teacher himself, his character and disposition. Many invite students to their homes, many get to know them through sports and other extra-curricular activities. But it is possible for a man to go on lecturing for many years without making enough real contacts with his students.

Coming to the special difficulties of South African political and racial tensions, the first and most striking thing to mark is that since 1959 the Universities have been forbidden to enrol any non-white students. These are now provided for in five "ethnic Colleges"—University Colleges of the University of South Africa. In these Colleges, the non-white groups are separated not only from the whites but from one another—Indians from "Coloured" (mulattoes) and both from Africans, and the Africans divided into the Zulu, Xhosa and Sotho-Tswana groups. Each of these ethnic Colleges is under the most stringent control, and although some of them here made marked progress in the courses offered to their students since 1959, none can be said to have the spirit of a true University.

It would be natural to ask why the older Universities were so mean-spirited as to accept the exclusion from them of all non-white students. They did indeed protest vigorously and repeatedly, and are still protesting. More they could not do, for with Machiavellian ingenuity the penalty of fine or imprisonment falls not on the admitting officer of the University but on the non-white student himself. For the staffs of these Universities to have resigned would have meant their replacement by nationalists or time-servers and the trans-

formation of one of the few remaining forces for freedom in the Republic of South Africa.

Yet the loss is very great, not only in principle but in practice, for the white University student is seriously handicapped by being deprived of natural and happy contacts with his fellow-South Africans of colour, to his own loss and to the loss of the country as a whole.

Apart from this great restriction it may be said that academic freedom has in a great measure been preserved. The Security Police do not "sit in" on Lectures as they frequently do on public meetings. No Professor and no student can be said to have been arrested or punished for words said in the Lecture room. No Professor has been dismissed by his University for his political opinions. This must be frankly and gladly recorded. But the picture is not really so good as that. Two Professors have been silenced under the Suppression of Communism Act and by the Order which banned them have been excluded from their Universities and so from teaching. These bans were imposed for words and actions outside the Universities, but they are terrifying enough. Impatient radicals among the students who turned to sabotage have been sentenced to long terms of imprisonment, but these again were actions related to actions outside the Universities. There have been cases where bans were issued against Lecturers or students who were guilty of nothing more than ardent support of the non-racial and egalitarian Liberal Party and who were not in any way saboteurs. One striking case is that of a student who was banned for five years on the eve of his twenty-first birthday. These men were in general allowed to continue their teaching or studying at their Universities, but banned from all political functions and *all social gatherings* for five years.

(In parenthesis, many of the men banned, were strong anti-Communists, but a man may be banned for advocating *any part* of the doctrines of Communism, and one of the doctrines of Communism is the abolition of the colour bar).

These bannings have had the effect of making cautious men hesitate about making any strong or forthright public announcements, and even about speaking out their whole mind in their Lectures. They have also intimidated students, whose liberal national organization, "Nusas" (the National Union of South African Students) has been hotly and repeatedly attacked by Cabinet Ministers.

University teachers in South Africa have to decide whether their attitude should be one of complete impartiality or of liberal indoctrination. There is a sense in which every University teacher should eschew indoctrination in all its forms, but when nationalism, racism and apartheid are pressed on young people in schools and in the Afrikaans-speaking Universities, even the attempt to be reasonable and to consider first principles and world opinion seems to have an element of indoctrination about it.

The circumstances of South Africa are such as to have led to a considerable emigration of University teachers. Many of these have come to Canada, among them some of our best. It would be wrong to blame any one of them for his decision. It is always a poignant thing to leave one's country. Such a decision is not lightly taken, and is often justified. Still it must be obvious that unless the struggle in South Africa is to be given up some must remain at their posts, and they need reinforcements.

The attempt to prevent University men from going to South Africa has often been made from good motives, but it seems a complete reversal of the Gospel doctrine: "They that be whole need not a physician but they that be sick". If some Canadians could come to help us it would not only be a boon to South Africa, but a means of bringing back up-to-date news of the South African situation to Canada. A three- or five-year term might be enough, but the help would be very great.

The ideals of the "free" Universities in South Africa remain the ideals of self-respecting Universities everywhere—the pursuit of truth, respect for human personality, the best both in learning and in human relations. Their light shines out in the sombre twilight of South Africa and must not be extinguished.

REPORT OF THE A. F. & T. COMMITTEE

At its June meeting the Council of the CAUT approved the establishment by the Executive and Finance Committee of a new and enlarged Committee on Academic Freedom and Tenure. The original Committee was established in 1959 and under the able chairmanship of Professor Gordon Turner, of the University of Western Ontario, dealt with a wide variety of complaints from faculty members in widely scattered parts of the country. With him were associated Professor Pierre Dansereau of the University of Montreal, Professor Harold Good of Queen's University, Professor John Graham of McMaster University, Professor J. B. Milner of the University of Toronto, Professor Lawrence M. Read of Carleton University and Professor Percy Smith of the University of Saskatchewan. Professor Dansereau was later replaced by Professor F. Grenier of Laval University and Professor Smith resigned when he became Executive Secretary of the CAUT, but he continued to work with the Committee in that capacity. In 1964, after five years of valuable work as Chairman, Professor Turner resigned and was succeeded by Professor Milner. At the same time the Committee was brought up to strength by the addition of Professor Howard McCurdy of the University of Windsor and Professor André Morel of the University of Montreal.

In the past sixteen months, since Professor Milner became Chairman, the Committee has dealt with fourteen complaints, some so informal that only a memorandum appears in the file, recording the inquiry of the Executive Secretary, some so elaborate that the files are inches thick, and record not only visits by the Chairman and Executive Secretary to the University where the alleged violation of tenure took place but also an elaborate consideration of the case by the whole Committee. This number does not include the cases handled by local staff associations that did not come to the Committee's attention.

Two cases, or aspects of two cases, deserve mention here. In one, a professor with tenure had his salary reduced by the administration as a disciplinary measure. The administration denied that this was a violation of tenure. The Committee took the opposite view. A substantial reduction of salary is equivalent to dismissal and no proper opportunity to be heard was provided. It seemed to the Committee that when a senior man with family commitments loses \$1600 from his salary, he has little choice but to look elsewhere for a teaching post. In this instance the professor succeeded in obtaining a considerably

higher paid post in another university. The Committee could not, therefore, reasonably ask for compensation, but it stated its position clearly to the defaulting University with the approval of the Executive and Finance Committee.

In the second case the University refused to renew the appointment of a professor who was on sabbatical leave studying in Europe. In this case the absent professor had his family abroad and suffered a severe blow when he learned that he had no job to return to in Canada. The Committee was able to convince the University that the professor had, if not tenure, at least the assurance of the University of an appointment for a year on his return. Since it was apparent that the conditions of work would be unpleasant if the professor insisted on performance, he was willing to accept a settlement of about \$8000 in lieu of the year's salary.

The kind of ambiguous relationship that was evident in this second case is frequently found by the Committee to be a source of complaint. The old Committee was charged with investigation of alleged violations of tenure only, and on a number of occasions had to reply to a complainant that since he did not have tenure the Committee was unable to assist him. It was apparent that a good deal of injustice arose from unsatisfactory regulations respecting probationary appointment, and this inadequacy in the old Committee, as much as anything, led to the establishment of the new Committee. The personnel remains the same but two new members were added, Professor Mary McIlwraith of Sir George Williams University, and Professor John Norris of the University of British Columbia. Professor Percy Smith, the Executive Secretary was also made a member of the Committee *ex officio*.

The new Committee, although bearing the same name, has broader terms of reference, "including grievance procedures, problems of appointments, tenure, promotions, harassments and whatever other matters related to academic freedom or administrative procedures the Committee may see fit to consider, including the preparation of relevant policy statements for submission to the Executive and Finance Committee."

The old Committee recommended to the Executive and Finance Committee the studies that have resulted in Professor Soberman's Report on Tenure in Canadian Universities (in the common law

provinces) in the March Bulletin and Professor Hurtubise's supplement on the civil law and the Quebec Universities to appear shortly. Following this ground work, the new Committee is now preparing statements of policy on the purpose of tenure and the way it may be established and protected, including procedures for terminating tenure, or dismissal, in universities and colleges. Preparation is also under way of a statement of the Committee's own procedures in the investigation of complaints by CAUT members who have sought its aid directly or through their local staff associations.

The Committee avoids publicity in the conduct of its inquiries unless, of course, it becomes necessary to publicize the unwillingness of a university administration to rectify a violation of tenure. As a result there have been no accounts of the Committee's work in these pages. If it is to be the "silent service" of the CAUT, it is well from time to time to publish a reminder, such as this, of the Committee's existence and the availability of its services to members.

J.B.M.

1st November 1965

INTERNATIONAL ASSOCIATION OF UNIVERSITY PROFESSORS AND LECTURERS UNIVERSITIES CONFERENCE REPORT

The 13th Universities Conference, held at Vienna (September 6-12) was attended by approximately one hundred and fifty members and delegates representing twenty-five national organizations of university professors and by observers representing nine international organizations concerned with higher education. Twenty-one of those attending were from the United States, nineteen from Turkey, seventeen from the United Kingdom, and six from Australia. Professor Louis Marceau of Laval and I were the only Canadians present.

In addition to two meetings each of the General Council and of the Executive Committee, six working sessions were devoted to papers and discussion on the topics of Teaching Methods and Aids and Relations between Professors and Students, four to the Seminar on the Status of the University Professor. During the course of the next few months, papers, minutes of business meetings, and resolutions arising from the conference will be published in the journal of the International Association of University Professors and Lecturers, *Communication*. Your representative submitted background material for the general report on Relations between Professors and Students, for which Professor Van Nüffel of Ghent acted as co-ordinator, and chaired the opening session on this topic. To the sessions on Teaching Methods and Aids I gave an account of CBC's role in adult education and in recent experiments in giving university courses by television, as well as a report on the use of language laboratories in Canada prepared by Professor C. Meredith Jones of the University of Manitoba. Two short papers—one on the status of the university teacher in relation to tenure and academic freedom, and another on special problems of recruitment in Canadian universities—were submitted to the Seminar on the Status of University Teachers.

To some extent the 13th Universities Conference was the victim of its own success. With twice as many persons attending and more than three times as many papers submitted as at Istanbul in 1963, there was little time for the cut-and-thrust of spontaneous discussion which proved so stimulating at the 12th Conference. A pity, since the topics of both the Conference proper and the first International Seminar on Status held in conjunction with it were of urgent and

immediate concern to everyone present. Informal discussion, however, went on long after the public sessions had concluded, and these were most illuminating.

It was encouraging to discover, for example, that at least one Australian university has achieved considerable success in seeking faculty participation in university government at the top decision-making level. Its representative seemed equally interested to discover that CAUT had available a report on year-round operation, the usual pressures for which are just beginning to make themselves felt in Australia. United States representatives asked me questions about everything from the CBC to—no doubt as a result of the Sibley affair—freedom of speech on Canadian campuses. Relations between staff and students was the subject most productive of discussion both in formal sessions and over the coffee-cups. The Turks described with pride their three-pronged attack on computer-atmosphere in engineering faculties by way of weekly consultation hours, a system of faculty advisors, and an annual open-house Sunday at the homes of professors. A New Yorker lamented that his college, while most generous in matters of salary, did not even provide him with a desk at which to interview students. The effects of the birth-rate bulge, closed-circuit television's demands upon lecturer and audience, and the flight from teaching consequent upon publish-or-perish policies were perennial favourites regardless of the national origins of the participants in the discussions and the paucity of solutions arising from them. Proponents of mechanical teaching aids unleashed batteries of statistics, while viewers with alarm attempted to counter-attack with common sense without appearing to play the role of academic Luddites confronted with a nightmare teaching-machine frame.

At the meetings of the General Council organizations representing two new national sections—India and South Africa—were admitted to membership in the I.A.U.P.L., the latter with commendation for its defense of academic freedom under difficult circumstances. The Executive Committee, in its meetings, noted with regret (but with what appeared to be understanding) Canada's inability to act upon its hope to host the 14th Conference in 1967. The invitation of the Israel section to hold the Conference either in Haifa or in Jerusalem was gratefully received, but final decision as to place was deferred until the next meeting of the Executive Committee following investigation of the practical details involved in holding the meetings in the Middle East. On the basis of the Vienna experience, it was decided to hold a second

Seminar on the Status of University Teachers and to make the topics for the 1967 Conference a little more specific than has been the practice in the past.

The hospitality extended to the Conference by the Austrian government and the staffs of the universities of Vienna and, subsequently, of Budapest was both generous and delightful. Future CAUT visitors to Vienna should certainly make the *heuringer abend* a subject of sociological research.

Marion B. Smith

University of Manitoba

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FEDERAL INCOME TAX NOTES

for the

GUIDANCE OF UNIVERSITY TEACHERS

By Kenneth F. Byrd

Expenses Allowed as Deduction from Remuneration:

The only expenses deductible from remuneration* are those specifically referred to in the Act, since expenses in general are not so deductible.

Allowed: Sec. 11 (10) of Act.

- (1) C.A.U.T. and any local university association subscription.
- (2) Any professional membership dues necessary to the employment, e.g. Medical, Engineering, Chartered Accountants, etc., Associations.
- (3) Cost of supplies consumed in performance of duties of employment—typing and multilithing class notes, etc., if paid by taxpayer.
- (4) Travelling expenses *only* if part of the terms of employment.
- (5) Officially there is no provision for deduction of subscriptions to professional journals but, in practice, this *may* be allowed. It is doubtful whether depreciation of books in the taxpayer's personal library will be allowed but there is no harm in trying.
- (6) Subscriptions to Faculty Club will probably be deductible, as necessary to employment, though not actually covered by the terms of the Act.
- (7) A university lecturer who is a member of the clergy, or a regular minister of a religious denomination, may deduct from his income:
 - (a) the value of living accommodation occupied in his capacity as clergyman, to the extent that it has

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*See General Note at end for expenses chargeable against non-employment income, e.g. for consultations, authorship, etc.

first been included in his income as a benefit received.

- or (b) either rent paid for such living accommodation, or the fair rental value of living accommodation owned and occupied by him in the year, to the extent of the income derived from his office or employment as a clergyman. Only a clergyman may thus deduct the rent paid, or the rental value of owned property.

Note: Strong representations have been made before the Royal Commission on Taxation, in favour of allowing university teachers to deduct from their remuneration any costs such as travelling expenses to teach in a summer school. The summer school income is classed as remuneration and, at present, such costs are not deductible. It is recommended that, in undertaking any such appointment, the teacher should ask the institution concerned to make payment by two cheques, one to refund travelling and living costs and a second for the balance of the remuneration. In such a case the balance only should be included in income for tax purposes. There may be no logical claim for living costs, in these circumstances, however, unless the taxpayer maintains his own home, or rents rooms, etc., in his home town, while away at the summer school. Living costs are personal expenses and, therefore, not normally deductible.

Personal Exemptions:

(1) A single person may deduct from his income \$1,000, and a married person supporting his spouse may deduct \$2,000. Where the taxpayer is 65 before the end of the year he may deduct a further \$500. After 1965 this deduction will be allowed at age 65 only if the taxpayer has not been authorized to receive a pension under the Old Age Security Act for any month in the year. But the \$500 will then be allowed without qualification if the taxpayer has become 70 before the end of the year.

This \$2,000 must be reduced by the excess of his spouse's own income over \$250. Thus if the spouse's own income is \$1,250, the

married taxpayer's personal exemption is reduced from \$2,000 to \$1,000. Beyond that point there is no further reduction. Each spouse will then be separately assessed with a personal exemption of \$1,000.

It is not possible for a taxpayer living with his wife to claim the \$2,000 exemption on the grounds of wholly maintaining a dependant, *except possibly in the year of divorce or of marriage*. In general the taxpayer's claim comes wholly from the other spouse.

If, *in the year of divorce*, the taxpayer claims the \$2,000 marital exemption, he will then not be able to deduct, in arriving at income, any alimony paid to his divorced wife during the year. He may elect whichever benefits him.

In the year of marriage a spinster may claim the \$2,000 personal exemption for maintaining a wholly dependant person *before the date of marriage*. Her husband's \$2,000 will be reduced only by the excess of her income *since marriage* over \$250. Thus, during this year, each spouse may possibly claim the \$2,000 exemption or the husband may claim something between \$1,000 and \$2,000.

In general, however, if a husband and wife have separate incomes on which they are assessed for tax, each may claim only \$1,000 personal exemption.

(2) Where a taxpayer, who is single, together with some other individual or individuals, maintains a dependant, they may agree together that only the one single taxpayer may make a claim for the dependant. Thus, supposing A and B maintain their mother as a joint dependant, but A is married and B single. Supposing A is paying 40% tax on his marginal increment and B only 30%. A may agree to refrain from claiming any dependant's allowance (he has \$2,000 personal exemption as a married man).

Then B may claim \$2,000 exemption as if he were wholly maintaining the mother. If both A and B claimed for the mother, B's exemption would be reduced to \$1,000, since he is single, and the increase in tax would be 30% of \$1,000 i.e. \$300. A and B may calculate the tax saving and share it in proportion to their respective maintenance contributions.

(3) Children:

The deduction from income is \$300 for each child of the taxpayer qualified for family allowance, and \$550 for each other child under

21 at December 31 in the year of assessment, or, if over 21 in full-time attendance at a school or university. The definition of 'child of the taxpayer' includes an illegitimate child, a daughter- or son-in-law of the taxpayer, and a person wholly dependant on him and of whom he has, or did have, custody immediately before the dependant became 21. Also in 1965 the right to claim for a child applies to a niece or nephew of the taxpayer or his wife. In these cases the deduction is the amount actually spent for maintenance of the niece or nephew, who must be resident in Canada. The maximum deduction for each will be \$300 or \$550 as the case may be, as for any child of the taxpayer. Also the mother must either be living apart from her husband, or divorced or formally separated from him, receiving no alimony or other allowance from him for maintenance of the niece or nephew; or the father must be physically or mentally infirm, or he must be deceased and the mother must not have remarried.

To be qualified for family allowance the child must have been under 16 at some time in the last month of the taxation year i.e. December. An immigrant child is not qualified until he has been resident in Canada for 1 year so that, *during this year*, the \$550 deduction may be claimed for a child under 16. However, for the taxation year during which the first year after immigration ends, the deduction will be only \$300, even though family allowance receipts may be very small through qualification late in the year. To avoid the anomaly, the taxpayer is permitted, if he wishes, to claim the \$550 deduction for the year and pay back, as an addition to his income tax, the actual family allowances received by him. Calculation of his marginal rate of tax on the \$250 difference between \$550 and \$300 will show whether it will pay him to take advantage of this concession.

(4) Dependants:

The deduction is \$300 for each dependant under 21, on the last day of the year of assessment, and \$550 for each other dependant, if these amounts are not greater than the actual contribution to the maintenance of the dependant. The dependant must be an infirm parent or grandparent of the taxpayer or his brother or sister under 21, or over 21 and mentally or physically infirm or over 21 and in full-time attendance at a school or university. For 1965 and later, the dependant may be the taxpayer's or his spouse's aunt or uncle, on conditions of residence in Canada and dependance on the taxpayer through mental or physical infirmity.

If more than one taxpayer contributes and claims for the same dependant the \$300 or \$550 is apportioned between the contributing taxpayers in the ratio of their contributions. If the total contribution is less than \$300 or \$550, each taxpayer may deduct the actual amount of his contribution.

To qualify as a dependant the dependant's personal income apart from the maintenance receipts in question, must not exceed \$950 per annum subject to the notch provision which follows.

Where the dependant's income exceeds \$950 the taxpayer may claim him as a dependant, provided he (the taxpayer) adds to the tax to be paid the amount by which the dependant's income exceeds \$950.

The possible benefits through claiming a dependant may include:

- (1) the extra \$1,000 personal exemption,
- (2) the \$300 or \$550 dependant's allowance, if the dependant is a child of the taxpayer (which includes an adopted child or a daughter- or son-in-law) and the taxpayer employs a full-time servant in his own home, where he supports the child (Note: If this qualification is not satisfied the taxpayer may not claim both (1) and (2);
- (3) deduction for medical expenses paid for the dependant, together with those of himself and his spouse, in excess of 3% of income. Consequently it is obvious that the taxpayer must take all these into account, in deciding whether or not it will benefit him to claim the dependant under the notch provision.

Thus, if tax is 40% at the margin:

40% of \$1,000 extra personal allowance	\$400
40% of \$ 550 dependant's allowance	220
40% of excess medical expenses paid for dependant - say	200
	<hr/>
	\$820
	<hr/>

Here, even if the dependant's personal income is \$950 + \$800 i.e. \$1,750, it will pay the taxpayer to save \$20 by claiming the dependant and adding \$800 to the resulting tax, under the notch provision.

(5) Tuition Fees for Dependant

If the dependant is a student at a Canadian university or other educational institution of post-secondary school level, or at a high school providing courses leading to college or university entrance, any tuition fees exceeding \$25, for not more than 12 months beginning in the taxation year, whether paid by the taxpayer, the student or anyone else, may be deducted from the dependant's income (not the taxpayer's) for the purpose of claiming him as a dependant.

If the tuition fees are paid to a *non*-Canadian university they are deductible only if for full-time attendance of at least 13 weeks in a course leading to a degree, and for not more than 12 months beginning in the taxation year.

The tuition fees may be deducted by the dependant himself in calculating his own income for tax purposes.

(6) Registered Retirement Savings Fund

Any taxpayer may now supplement his contributions to his employer's contributory pension scheme by amounts invested by him each year in a registered retirement savings plan. Thus if, as may well be, the university requires an annual contribution which it invests in fixed interest securities, the university teacher may provide for his own supplementary annual investment, in equity securities or otherwise, by payment into any fund which qualifies as a registered retirement savings plan. There are a number of different types of such fund offered by insurance companies, trust companies and mutual investment companies. The essential qualification for each is that the investment may be realized after maturity only as an annuity to the taxpayer for life, or for the joint lives of himself and his spouse and to the survivor for life. Maturity will be as provided by the plan, but not for a date later than that on which the annuitant becomes 71.

In this age of inflation there will probably be a real benefit if the registered retirement savings plan investment is made largely in equity stocks, so that the falling value of money may be countered by the compensating tendency for the equities to rise in dollar value. This is particularly important if the university pension fund is invested in fixed interest securities.

Investment in equities may be secured by selection of appropriate plans offered by investment companies such as Canadian Investment Fund, Investors Mutual or Growth Fund, and many others. Here the

investor's contribution is invested in a balanced portfolio of a large number of securities, with consequent wide spreading of risk. The College Retirement Equities Fund in the United States (available for Canadian professors and allowed for income tax) invests wholly in equities, but only on the terms of an equal contribution to the Teachers Insurance and Annuities Association, which is invested wholly in fixed interest securities. If the university pension scheme itself allows investment in these they offer excellent opportunities.

The annual investment in the registered retirement savings plan may be deducted from the university teacher's income, for tax purposes, up to an amount which, together with his contribution to the university's pension scheme, does not exceed the lesser of

- (a) 10% of the earned (*not* investment) income for the year and
- (b) \$1,500.

Thus a university teacher whose *earned* income is not less than \$15,000 a year may ensure that his pension fund (combining that of the university and his own registered retirement savings plan) accumulates at the rate of a maximum of \$1,500 per annum, plus interest or dividends, with deduction of the whole contribution from his income. The tax on it is completely deferred until the time when he receives it in the form of an annuity. Tax will then be payable each year, but annual income is likely to be less during the years of retirement, so that tax rates will be lower.

In making his decision each year, as to supplementing his university pension plan contribution, the taxpayer has the whole of January and February of the year following the taxation year, to make his arrangements. The investment in the registered retirement savings plan must be made within 60 days after the end of the taxation year.

Should the university teacher wish to withdraw the registered retirement savings contributions before maturity, other than by way of a mere refund of premiums, he must pay an amount of 25% of the sum to the Receiver General of Canada. This 25% will be withheld by the fund authorities, so that only 75% will be received. This amounts to a flat payment of 25% as tax. The penalty nature, or otherwise, of this will depend on the taxpayer's rate of tax each year, at the margin, and the number of years' contributions which are thus withdrawn in a lump sum. Since 25% is the rate of tax payable on the \$2,000 increment of taxable income from \$6,000 to \$8,000 there will, in very many cases, be no penalty involved.

The registered retirement savings plan provisions undoubtedly offer great benefits and it is wise to take the fullest possible advantage of them each year.

(7) Rates of Tax:

The rates of tax for 1965 are not changed. However, the total amount of tax computed at those rates, excluding old age security tax, is reduced by 5% up to a maximum deduction of \$300.

(8) Old Age Security Tax:

In addition to income tax every individual is required to pay old age security tax, at 4% of his taxable income, up to a maximum of \$120.

(9) Dividend Tax Credit:

It is important, in Canada, to remember that, not only do investments in common shares have a built-in tendency to protect against inflation, since profits, and therefore dividends, increase as the value of the dollar falls, but also, from a tax point of view, dividends have a great advantage over interest. The income tax paid by a Canadian limited company is regarded as having been paid on behalf of the shareholders. Consequently the Act provides that, while the dividend received must be included in the shareholder's income, in making the initial tax computation, 20% of the dividend may be deducted from the resulting tax, as if the company had already paid a tax of 20% on the dividend. There is no such deduction in the case of bond interest.

(10) The Year of Immigration or Emigration:

If a Canadian immigrant or emigrant is resident in Canada for less than 183 days in the taxation year of immigration or emigration, only his income derived from Canadian sources, plus income from non-Canadian sources *during the period of residence*, will be subject to Canadian tax in that year. For such a case the personal allowance of \$2,000 or \$1,000, or some intermediate figure, as the case may be, and any children's or dependant's allowances, must be reduced in the proportion that the number of days of residence in Canada bears to the number of days in the year. Charitable donations made to Canadian institutions, during the period of residence, will be deductible up to 10% of the income, and medical expenses paid by the taxpayer for himself or his dependants, during the period of residence, will be deductible insofar as they exceed 3% of the income.

Since the beginning of the 1961 taxation year an extended meaning of "resident" has resulted in taxation for the full year as if the taxpayer were resident in Canada, where he stays in Canada for *more than 182 days* in the taxation year. In such a case the taxpayer must include, for tax purposes, *all* his income for the year, both that received during the actual period of residence and that received before or after residence. From the resulting tax, however, a tax-credit is deductible equal to the lesser of

- (a) any foreign tax paid and
- (b) that proportion of the total tax that the foreign income bears to the total income.

(11) Provincial Tax Credit:

From the federal tax, as first calculated, a deduction of 21% (24% for Quebec) for provincial tax credit is allowed, except for residents in the Yukon and Northwest Territories, for 1965. In all provinces, other than Quebec and the Yukon and Northwest Territories, provincial tax must be added as follows, in making payment to the federal government, thus making the total amount payable to the federal government the same as if no credit had been made (except in the cases of Manitoba and Saskatchewan). This 21% is collected by the federal government as agent for the provinces. In the cases of Manitoba and Saskatchewan the amounts collected for 1965 are greater by 2 and 3 percentage points, respectively, than the credit allowed against the federal tax. Quebec levies its own tax and does not employ the federal government to collect it, so the deduction of 24% is not added back.

Additions for provincial tax (except in the case of Quebec):

- (a) Manitoba and Saskatchewan: 23% and 24%, respectively, of the basic tax, (which does not include old age security tax) before deduction of the provincial tax credit;
- (b) in all other provinces 21% of such basic tax.

(12) Canadian Professor Leaving Canada for Extended Period:

To ensure that he shall not continue, for tax purposes, to be regarded as a Canadian resident, any university teacher who leaves Canada for teaching or research abroad, for a lengthened period, should make sure that he "takes up his roots" and leaves no evidence of continued residence. If he is married and leaves his family in Can-

ada, he will still be presumed to be resident there. But if he sells, loans or leases his Canadian dwelling, and takes his family abroad with him, he will probably be regarded as non-resident from the date of his departure.

An interesting case reported by one university professor in 1962 is as follows:

He left for a sabbatical year in England from August 1960 to August 1961. Knowing that anyone resident in the U.K. for more than 6 months in one fiscal year (April 5 to April 4) is classed as a U.K. resident and taxed accordingly, on all U.K. income and on all income remitted to him into the U.K., he borrowed \$4,000 from the bank to finance his stay in England, and sent it to his bank account there *before* he arrived. This was capital and not taxable. Only his Nuffield grant for living expenses was sent to him monthly in England, and this was not sufficient to reach a taxable figure, so that he paid no U.K. tax for the period from August to the following April 4. The period from April 5 to August, when he returned to Canada, was less than 183 days, so he was not a U.K. resident for the second period. Since he had met the requirements already indicated he was not classed as a Canadian resident for tax purposes. He arranged for his university *not* to continue making tax deductions from his salary cheque, which was paid monthly into his Canadian bank account and accumulated. He had leased his Canadian house and the monthly rental had accumulated in his Canadian bank account.

In the end he was required to pay Canadian tax only on the basis of residence in Canada for part of the taxation year, up to the time of leaving. (Since this was more than 183 days the new 1961 legislation would have made him resident for the whole year, but his scheme would still be effective if his actual period of residence in each taxation year was less than 183 days). Consequently, while he reported the full position to both Canadian and U.K. authorities, he was not required to pay any tax on the sabbatical salary and rental income earned while he was resident in the U.K. but not remitted to the U.K. The effective cost of the scheme to him was interest paid on the \$4,000 borrowed from the bank, but the saving in tax was considerable.

(13) Author's Income from Royalties:

The proceeds from sale of their works, by authors engaged on the production of literary, dramatic, musical and artistic and other works

are taxable as earned income. The proceeds of outright sale of a work will probably *not* be taxed as not constituting income, *where the work is an isolated one and the author has other income*. Where an author is engaged on production of a work for more than one taxation year taxation on the full proceeds in the year of sale would be inequitable. Consequently, if tax is payable, he is allowed to spread the income received by him over more than the one taxation year where

- (1) he has been engaged on the work for more than a year,
- (2) he assigns the copyright wholly or partially, and
- (3) he receives in consideration, within twelve months of the assignment, an amount which would be regarded as income for the year of receipt. The author must file with his local tax office, by April 30 following the year of receipt, a special Election Form for Authors.

He will then be taxable as follows:

- (1) where production took not more than two years, half the proceeds will be taxed in the year of receipt and half in the immediately preceding year.
- (2) where production took more than two years, one-third of the proceeds will be taxed in the year of receipt and one-third in each of the two years immediately preceding.

Note: Royalties received by the taxpayer for a work of which he was author are defined by the Act as earned income and are so taxable, not being subject to the 4% investment surtax.

Canada's reciprocal tax convention with the United States exempts from United States tax any royalties for the right to use copyrights or to produce or reproduce any literary, dramatic, musical or artistic work (not including motion picture films) received from the United States by a Canadian resident. There is no such exemption of royalties received from the United Kingdom.

(14) Professor Teaching in the United States or the United Kingdom:

Canada's reciprocal conventions with both the United States and the United Kingdom provide for exemption from tax in those countries of the remuneration received by any Canadian professor or teacher from teaching there during a temporary visit of not more than two years, in a university, college, school or other educational institution.

(15) General Note in Regard to Earned Income
Other than Employment Income:

Where a university teacher is fortunate enough to earn income other than from employment, he should remember that the income to be taxed is not his gross income but his receipts less reasonable expenses incurred in earning the income.

Thus where fees are earned from professional consultations, e.g. by engineers, lawyers, chartered accountants; or from the writing of a book, by way of royalties or a lump sum received from the publisher, reasonable expenses should be deducted from the gross receipts on the tax assessment form.

Reasonable expenses will include, apart from actual cash outlays which should be supported by documentary evidence, costs such as the following where the professor uses his own residence for consultations, writing, etc.

If the study occupies one-sixth of a 6-room house; one sixth of property taxes and depreciation, or of rent, as the case may be, also of telephone charges, interest on mortgage, etc. If the total deduction for expenses does not exceed from $33\frac{1}{3}\%$ to 40% of the gross revenue, it will probably be allowed as reasonable.

THE Ph.D. AS A QUALIFICATION FOR UNIVERSITY TEACHERS

by C. F. Poole

The shortage of qualified teachers is of increasing concern to Canadian universities. The supply is most often measured by the number of Ph.D. candidates available. It is generally assumed, that is to say, that the doctorate is essential to successful university teaching, or, at the very least, that it is highly desirable. In view of the serious shortage of teachers, if for no other reason, a critical examination of this assumption is past due. The brief suggestions offered here refer to scholarship and teaching in the humanities; there is no claim that they are equally applicable to the sciences.

The question is whether in the humanities doctoral work imparts to a student benefits that cannot be derived from a shorter course of study, for example work leading to the M.A. degree. There are some university people who speak as if they attributed the importance of the Ph.D. to the additional information or 'facts' accumulated over the extra two or three years of the programme. The man who has earned a Ph.D. is, in other words, thought to be superior by virtue of what he knows.

It is undoubtedly true that a student will acquire more information in eight years than in six. But it does not follow that he will acquire more in eight years of formal study, the time often demanded in the Ph.D. course, than he would acquire in the shorter M.A. course plus two or three years as a teacher. Indeed it is likely that he would learn more, in the sense of acquiring information, in two or three years of teaching, than he could learn in the comparable time required for the Ph.D. degree. Hence it is extremely doubtful that the prolonged course of study leading to the Ph.D. degree can be justified on the ground that the person who earns a doctorate is better informed than one whose formal studies ended earlier, say with the M.A. degree.

To ascribe a superior quality to the doctorate on the ground of the amount of information acquired is questionable for another reason. The 'facts' in a given field are virtually infinite in number, so that whether one, as a student, spends six or eight years 'learning' them hardly matters at all; he will be poorly informed if he relies only on the information gained in either the M.A. or the Ph.D. course.

C. F. POOLE is Professor of Philosophy at Mount Allison University.

What does matter is that at the end of his formal training he should have acquired enough information to permit of an intelligent search for more; that he should have acquired a 'feel' for scholarship.

Now it is hard to believe that a scholarly approach cannot be acquired in a course of study extending over a period of five or six years, the time required for the M.A. degree. Can it be seriously held, for example, that a student who has taken eight undergraduate courses and three graduate courses in a field; who has written perhaps twenty essays, some of them 'major' papers, in that field; and who has had the benefit of criticism and advice from several teachers, is yet ill-prepared for scholarly work? If he is not prepared, the suggestion is not that he needs more formal training, but that he needs education of a better quality. There is no evidence to show that in a good course of studies one cannot acquire, in five or six years, a solid foundation of information as well as the scholarly approach to enlarge and illumine it.

Most scholars would argue that the emphasis on information and 'facts' is misplaced. The main purpose of graduate study, they would say, is not to collect facts; that to speak of 'facts' at all is naive; and that what is of value is the training and scholarly discipline. In other words the assumption that the Ph.D. degree is a necessary, or highly desirable, preparation for university teaching rests not so much on quantitative differences between it and a lower degree as on a qualitative difference. The assumption here is that doctoral work is more highly specialized than studies leading to lower degrees. Again, however, this assumption is open to question. Examination of university calendars will show that a wide range of courses is open in both M.A. and Ph.D. programmes. Indeed many Ph.D. programmes demand that work, in the form of at least one course, be done in a cognate field. So far as course work is concerned, then, most doctoral programmes are not more specialized than work for the M.A. degree.

There is at the same time some truth in the claim that doctoral work is more specialized. The preparation of a Ph.D. thesis demands a greater concentration of time and effort than is possible in a shorter course of study. Moreover there is usually a greater emphasis on study in depth. It is this specialization in the form of a thesis that is assumed to lend a special value to the Ph.D. degree.

It is, however, far from clear that the writing of a thesis is either necessary or desirable preparation for university teaching. Insofar as

the argument for the thesis is made explicit, it is said that in working up 'raw material' to a form demanded by graduate schools a student learns the approach, and develops the attitude necessary to sound scholarship; that on this ground alone the Ph.D. degree is almost indispensable. But there is, as already suggested, no evidence to support the assumption that these skills and qualities of mind cannot be acquired and developed in the course of a shorter period of formal education. Adopting a very practical test for the moment, can anyone who is familiar with a Canadian university seriously believe that a distinction in terms of excellent teaching and scholarship is discernible between Ph.D.'s and those teachers who hold 'lower' degrees?

The thesis is sometimes defended as providing evidence that the student is capable of engaging in scholarly research. But it has already been suggested that M.A. work, for example, can provide the schools with ample evidence of this kind. In any case, the production of scholars, in the sense of 'researchers', is not a legitimate concern of the graduate school. The belief that universities should turn out 'researchers' rests not so much on an argument as on the tacit assumption that there is a necessary connection between successful teaching and research; that the good teacher is one who is also engaged in 'research projects'. On the face of it this assumption is unobjectionable. Examined, however, it turns out to be either a truism or a proposition for which no good evidence is provided. If it means that in order to be a successful teacher one must read extensively and deeply, work and re-work his material in the preparation of lectures, then it is so obviously true that no one would bother to assert it; if it means that one must also publish papers or books, it has no foundation in either reason or history.

It is clear that Canadian universities, following the American practice, have come to use 'research' in the second sense. Hence what is most often asserted when it is said that the good teacher is engaged in research is that the good teacher also publishes. 'Research' is virtually a synonym for 'publication'. In other words the belief that there is a necessary connection between teaching and research is, as A. D. C. Peterson puts it, "in danger of becoming an unthinking orthodoxy" ("General and Specialist Degrees", *C.A.U.T. Bulletin*, May 1953).

Granted, however, that research in the sense of publishing is a desirable activity, it does not follow that the experience of writing a

thesis is a necessary preparation. A good course of studies leading to the M.A. degree, for example, is sufficient. Whether a man then becomes a 'researcher' depends on his interests, capacity and, it must be admitted, his ambition. It is not surprising, therefore, that some teachers who hold a lower degree publish papers, while some who hold a doctorate do not.

The assumption that a Ph.D. degree is a necessary, or highly desirable, preparation for successful teaching cannot bear close examination. It is not justified on the ground that in the two or three additional years required one accumulates more knowledge in the sense of facts or information. Nor is it justified by any qualitative distinction between the Ph.D. and M.A. degrees: the distinction is often exaggerated; and where it exists, benefits accruing from distinctive qualities of the doctoral degree are, at best, of dubious value. Belief in the importance of the Ph.D. degree is a twin to that other unthinking orthodoxy, belief in the interdependence of teaching and 'research'. In view of the critical shortage of university teachers it is, to say the least, an orthodoxy whose birth certificate ought to be carefully examined.

J. H. STEWART REID MEMORIAL TRUST FUND

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CORRESPONDENCE

SALARY DIFFERENTIALS

September 22, 1965.

Dr. Kenneth Urwin,
Executive Secretary,
Association of University Teachers,
Bremar House,
Sale Place,
LONDON W2.

Dear Dr. Urwin,

In the past few months we have had discussion in various quarters of the C.A.U.T. concerning the question of salary differentials as between various disciplines within the Canadian universities. The existence of such differentials reflects, of course, the varying pressure of the market outside the university—the market of industry, for example, which demands the services of engineers and economists at salaries that place them in a preferred bargaining position when compared with historians and philosophers. Professor Gideon Rosenbluth, the Chairman of our Committee on Salaries, summed up the matter succinctly in a report that was printed in our *Bulletin* last January:

It is a stated policy of the C.A.U.T. to achieve a level of academic salaries comparable to those of the better-paid professions, such as Law, Medicine and Engineering (and, to an increasing degree, the Civil Service). This cannot be achieved unless the Academic profession as a whole is recognized as a distinct group that is equally valuable to society and therefore entitled to equal status and financial rewards. As long as members of those disciplines peculiar to universities are paid substantially less than those identified with other professions, we are, in effect, tacitly accepting an inferior status for the academic profession as such.

I am sure that you are well aware of the problem, and I am wondering whether the AUT has devised any method of dealing with it or has had experience that might be helpful to us. Am I right in thinking that the Pilkington Commission (1956?) discussed the problem? Unfortunately we do not possess a copy of that Commission's report.

In short, I wonder if you would mind dropping me a line to let me know of any material that in your opinion might be helpful to

us. We shall be most grateful for any suggestions that you may have to make.

As a postscript on another matter, let me report that our Commission on University Government, of which Sir James Duff is the Chairman, completed its report this summer. The report is now in the hands of the publishers, and we hope to have it ready for release early in the new year. We shall of course send you a copy when it becomes available.

With cordial good wishes,

Sincerely yours,
J. Percy Smith,
Executive Secretary.

Bremar House, Sale Place,
London W.2.,
28 September 1965.

From: Dr. K. Urwin,
Our Ref. CAUT/7/2809
Professor J. Percy Smith,
Canadian Association of University Teachers,
77 rue Metcalfe Street,
Ottawa, Canada.

Dear Professor Smith,

Thank you for your letter of 22 September. The question of potential salary differentials is always with us. We have, of course, always opposed them as a matter of principle though we have accepted certain deviations in practice. Perhaps the simplest thing is to explain how our system works.

The salary scales and annual increments are fixed nationally for the two lower grades of Assistant Lecturer and Lecturer. What we do recognize, however, is that, where a man has a high market value, he may well be placed at a higher starting point on the scale than would be the case if he were in one of the less marketable subjects. This clearly gives him a differential and an advantage until such time as he reaches the top of the scale. What is also involved, however, is that he does not have a higher maximum than a person in the same grade but of a non-marketable subject.

For the Senior Lecturer and Reader, no scale is laid down. All that is laid down is the maximum beyond what a university teacher may not be paid at that grade. No minimum is laid down at all, though in practice the usual minimum tends to be about two increments below the maximum of the Lecturer grade. Again, if a man with market value is appointed direct to one of these grades outside, it may well be that he is started rather further up the grade-scale than one of the others would be. If it is an internal promotion he is not likely to get a jump to a higher part of the scale. What is more likely to happen is that he will be promoted to that grade rather earlier than he would if he could not wield the blackmail of offers of appointments outside the university! Although, as I say, the maximum of the scale can be anything up to a given absolute maximum fixed by the government, I do not know of any universities in which a different maximum is fixed for the marketable subject and the non-marketable subject.

Professors are not paid on a scale. They are paid at a fixed point within a rather wide range which runs from £3,400 to £4,750. On the whole, it is true that within the professorial grade most universities will tend to pay the Professor of Engineering or Mining or Economics fairly high up in the range and would tend to pay the Professor of Greek nearer the bottom end of the range. To that extent, a differential is worked.

Where differentials do come in in the U.K. universities is over medical teachers. For various historical reasons the clinical and pre-clinical university teachers were at an advantage. Not only did they have higher scales but they had higher increments. To some extent this has been ironed out as a result of the National Incomes Commission Report which, whilst not taking away from the pre-clinical teacher his larger annual increments, has brought their salary scale into line with that of the general non-medical teacher. The clinical teachers, however, are still linked more with the salaries paid in the National Health Service and, whilst they have better increments than anyone else, they are to some extent worse off than the non-clinical teacher, e.g., the absolute maximum salary for the Professor is only £4,445. I must add that, rather reluctantly, the AUT has had to take the decision that the effect of these scales upon the recruitment of medically qualified teachers is bad and we ourselves are taking the very unusual step of asking the University Grants Committee and the Government to introduce better scales for people with medical quali-

fications. This is a naked differential, I fear, but it seemed to us the only possible solution in the present circumstances.

Perhaps I should now quote to you what the National Incomes Commission said about any further extension of differentials beyond the existing medical one. In their report, they say:-

"The compelling argument in our view against extension of differentials by faculties or subjects, in addition to its fundamental undesirability in principle, is that it would in practice be completely unworkable. Within any faculty or department, be it one of science, technology or arts, and however that faculty or department be subdivided, it would not be possible to match outside market values by a university salary scale applying to the faculty or department. At the end of the day, it comes down to individual subjects, and that very often means individual men. These individual subjects and individual men cannot be graded or classified according to arts or science or technology. There is the further difficulty that unlike the case of medicine where the salary scales of the National Health Service appear to have been adopted as the yardstick, no outside salary scale for a corresponding profession exists which could be applied to the teachers in any other university faculty or department.

129. It appears to us therefore that the extension of differentials by faculties or subjects is neither desirable nor practicable. We should not have been able to construct salary scales based on such a principle and we have not attempted to do so. The only workable solution for the difficulties of recruitment and retention of particular teachers in particular subjects is the system of flexibility which already exists and which we discuss in Chapter 9 of this Report."

I hope the above has given you some idea of the way our system works and the views of the Royal Commission on salary differentials. I would have thought that the quotation I have given you is one that could certainly be used, given the status of the body which produced it.

With best wishes,

Yours sincerely,
"Kenneth Urwin"
General Secretary.

ORGANIZATION OF THE UNIVERSITY YEAR

University of Alberta, Calgary

September 7th, 1965

Dr. J. Percy Smith,
Executive Secretary,
Canadian Association of University Teachers,
77 Metcalfe Street,
OTTAWA, Ontario.

Dear Dr. Smith:

I acknowledge with thanks your letter of August 31st in which you enclose a copy of the policy statement of CAUT concerning Organization of the University Year.

It gives me great satisfaction to say that, at this University at least, any decision to adopt or change our present system would have to be a decision of our General Faculty Council. Such a decision would be subject to ratification of the Board of Governors, but at least there is every reason to believe that the Board would not attempt to impose upon the General Faculty Council any requirement that the system be changed.

The possibility of providing, as required in Section 2, that equal quality be available to the student in all divisions of the year is, in my personal opinion, impossible to achieve, although I agree that to the maximum extent possible it should be an objective. Only if a given staff member were to repeat his material in each part of the year, and only if he could do it with the same freshness and vigor, could any one honestly claim that equal quality was available. The facilities and programmes can be arranged, but I greatly fear that I would myself not be able to bring to my class quite the same approach independent of the time of year. I am sure you will recognize, however, that this is mere quibbling, and that I agree with you in the objective.

As one who enjoys an annual vacation and who is aware of the importance of a satisfactory scheme of leaves of absence I couldn't agree more with your Section 3.

As far as Section 4 is concerned I would personally support the idea of commensurate periods of leave rather than extra salary. At the same time I should be very anxious to want to protect the rights of the

individual scholar to make his own arrangements provided he can satisfy his department head and dean that his work does not suffer. I would, I think, want him to be free to pay off his third mortgage if he wants to take money instead of an extra leave which, after all, may be a hollow gesture to a man with several children who simply cannot get away. I yield to no one in the desire to develop a strong faculty, and I am not yet persuaded that regimentation by any one or any body is desirable in the academic school. I hope you will understand that I do not propose the exploitation of my colleagues—I merely covet for them the opportunity of their making their own decisions.

From the above it should be evident to you that I am much in favour of most of the material in the document which has been prepared by CAUT. I think that the Association is doing an important work in considering this matter, which is of such concern to all academics in this country.

Thank you very much for your courtesy; I would greatly appreciate your letting me know of any general reaction which may be elicited by your letter and the enclosure.

With every good wish.

Sincerely yours,
H. S. Armstrong,
President.

Dictated by Dr. Armstrong, but signed in his absence.

CANADIAN ASSOCIATION OF UNIVERSITY TEACHERS

September 21, 1965.

President H. S. Armstrong,
University of Alberta,
CALGARY.

Dear President Armstrong,

Thank you indeed for your letter of September 7 and your comments on the policy statement concerning Organization of the University Year. I am very pleased by the degree of approval that they indicate. Indeed, the only matter on which I should like to provide some explanation arises from your comment on Section 4. There was a good deal of discussion of this section before it was adopted, much of it along the line of your argument. If I may state simply what I took to be the consensus reached before the Section was approved, it was that salary levels ought to be such that individuals would not ordinarily be under financial pressure to put money returns before professional betterment. (Having experienced precisely this sort of pressure with respect to summer school teaching, and having on many occasions yielded bitterly to it, I am only too familiar with it.) Further, I think it was tacitly acknowledged that faculty members are not necessarily any less subject than other people to the lure of money, and that a clear statement of principle was highly desirable. I should think that it would always be necessary to allow for the possibility of really exceptional financial stress; I should be inclined to reject the third mortgage, but a third serious family illness would be another matter! However, I am sure you will understand that the statement is essentially one of policy, intended to provide a basis of principle rather than of specific legislation.

You asked about general reaction to my letter and the statement, and I can only answer that there does not appear to have been any. They were sent to all university presidents, and I should think that approximately one third of the recipients have acknowledged them. Of these only three, including yourself, made any comment, and the comments indicated approval in general, with suggestions as to minor modifications. In my still rather short experience in my present post, this represents a good score.

With best wishes,

Sincerely yours,
J. Percy Smith,
Executive Secretary.

ORGANIZATION OF THE UNIVERSITY YEAR

The following two items were sent in by C.A.U.T. members who felt that the information would be of general interest.

A colleague from the University of Waterloo sent us a University Policy Statement on Academic Appointments. The following paragraph is quoted from this statement, which was effective April 22, 1965.

"Regular Appointment. Appointments to the faculty as Professor, Associate Professor, Assistant Professor, and Lecturer, carry a direct explicit commitment and responsibility for two terms per year (a total of *approximately* eight months) of lecturing, scholarly work, academic supervision of students, setting and marking of examinations and general participation in University affairs through the work of councils, committees, etc. While there is no explicit commitment for the remainder of the year, there is an implicit undertaking to pursue activities of a scholarly or professionally developing character through travel, research, writing, studying, etc. It is acknowledged that promotions to higher academic ranks are significantly influenced by the activities of faculty members through the entire calendar year, not just through the eight-month period explicitly committed. At the University of Waterloo, most appointments of this type will carry teaching responsibilities in the Fall and Winter terms only. For co-operative programmes, there is a significant amount of instruction given during the Spring term. It will thus be possible for faculty members engaged in instructing undergraduates in co-operative programmes, to teach, on occasion and as appropriate, during any two of the three terms in any year. A benefit of the co-operative system, already well established at Waterloo, is the possibility of combining in a two-year period four terms of regular service and two consecutive "uncommitted" terms. Such arrangements will continue to be dependent upon the departments being able to fulfil their responsibilities in respect of teaching, etc., during the time involved. Regular appointments may be held on a part-time basis, in which case responsibilities and salary are arrived at by individual arrangements."

A colleague from the University of Montreal included the following information in a recent letter:

"En ce qui concerne la prise de position de l'Université de Montréal concernant l'enseignement dispensé par ses professeurs au cours des mois d'été ou le soir pendant l'année académique, je vous apporte les précisions suivantes:

Le Comité exécutif du Conseil des gouverneurs a décidé de 'fixer à un maximum de 60 heures de cours (ou 90 heures, y compris les séances de travaux pratiques) la charge additionnelle d'enseignement pour laquelle un professeur à temps complet pourra dorénavant recevoir une rémunération distincte du salaire annuel qu'il reçoit déjà en vertu de sa charge normale d'enseignement . . . ' Afin de décourager une pratique qui risquait de compromettre l'efficacité de l'activité normale d'enseignement et de recherche des professeurs à temps complet, le Comité d'étude a également recommandé qu'au delà du maximum fixé, l'enseignement en cours du soir ou en cours d'été soit dorénavant compté dans la charge régulière d'enseignement du professeur'.

Cette nouvelle politique de l'Université s'appliquera aussitôt que possible mais dans tous les cas au plus tard à compter du 1er juin 1966."

THE FINANCING OF UNIVERSITIES

A Brief submitted by the Canadian Association of University Teachers to the Commission on the Financing of Higher Education in Canada

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- I. Objectives of University Finance
- II. University Expenditure Priorities
- III. The Sources of University Income
- IV. The University Grants Committee
and the Distribution of Revenues

SUBMISSION TO C.U.F. COMMISSION ON THE FINANCING OF HIGHER EDUCATION

The Canadian Association of University Teachers has for some time been actively concerned with the problems of university finance. The Committee on University Financing of the C.A.U.T. issued a report in 1962, and early in 1964 the Association presented a brief to the Federal government.*

The Association will not now review the factual content or analysis or reiterate the recommendations contained in those documents. It is our belief that the ideas and proposals of the earlier report and brief are worthy of the Commission's attention and that in many particulars, the circumstances which underlay those proposals have not changed. However, because it recognizes some change in the nature of the problems of university financing and in the appropriate methods for solving them, the present submission clearly takes precedence over earlier CAUT views. This submission is a statement of the most fundamental objectives of university financing and of Association views on current issues, assessed in the light of those objectives.

I. Objectives of University Finance

There can be little doubt that effective and independent teaching and research are the primary functions of higher education. The

* A copy of the CAUT Brief to the (Federal) Minister of Finance (Jan. 27, 1964) is included in Addendum A. A copy of the Report of the Committee on University Financing of the CAUT (June, 1962) is included in Addendum B. It is preceded by the list of recommendations, as amended and adopted by the CAUT Council in November, 1962.

adequacy of total financial resources available to the universities should be determined by the extent to which such resources make possible a high quality of university teaching and research. The priorities among alternative expenditures and among sources of income should likewise be determined by the extent to which such priorities contribute to the improvement of instruction and scholarship. In an era when the upgrading of human capital and constructive use of leisure are so often cited as principal social objectives, it should be self-evident that a concern for the quality of higher education goes far beyond the short-term interests of university teachers and administrators.

In university teaching and research, high quality depends upon several essentials:

(a) **Adequate compensation and appropriate working conditions for the university teacher and scholar.** The failure to achieve these basic objectives inevitably discourages some people of ability from choosing or continuing an academic career. In particular the inadequacy of facilities for research and study within institutions of higher learning encourages members of the academic professions to look outside the university, or outside Canada, for opportunities which afford them higher incomes and better research facilities. Such activities outside the universities do not always afford an opportunity for genuinely independent scholarship, and even when they do, they are opportunities which cannot be shared equitably among scholars because the support available for research in the community is inevitably concentrated in applied fields and disciplines.

(b) **Sources and methods of administering university funds which protect and enlarge academic freedom.** Adequacy of compensation and of research facilities avails little if the scholar lacks the freedom which encourages initiative. If the funds which support the university are derived from sources which can readily control their use, the free pursuit of knowledge may be severely handicapped, and teaching may become a mere conditioning to conventional modes and forms of thought. Part of this problem lies in the nature of university government, but part is associated with the variety of sources of funds, and the directness of control which can be exercised by the supporting agency, whether it be public or private. Since public support is likely to be of paramount importance, it is essential that such support be in large measure unconditional, and that active university scholars should

participate in the formulation and administration of criteria governing distribution of government funds for higher education.

(c) **A high basic standard at all Canadian universities.** In every country there are some universities which afford superior opportunities for those who teach and study in them. In Canada, the wide geographical dispersion of population and the considerable regional differences in per capita income sustain inequality of opportunity for university students and teachers. While to a degree the university instructor is able to solve this problem for himself by moving to financially stronger institutions, the student is often less able to move, and thus the brunt of inequality of opportunity falls on him. The Canadian Association of University Teachers recognizes that some differences between institutions will and perhaps should remain, but considers it unacceptable that some Canadian universities are still prevented from achieving a high basic standard because of the inadequacy of their financial support.

The foregoing objectives must be placed against the fact that in Canada education is a provincial responsibility, although there has been and is room for federal support consistent with the recognition of provincial primacy. Given such primacy and corresponding responsibility, the CAUT would deplore any indications that some provinces were less interested than others in achieving the aforementioned objectives. However, it is the CAUT's belief that it is social or cultural objectives that are likely to exhibit substantial differences among the Provinces rather than attitudes to the over-all quantity or quality of higher education. More specifically, the cultural distinctiveness of the Province of Quebec makes it essential that the rest of Canada recognize the special importance of preserving the right of that province to fashion its own educational system. Therefore, while no barrier should be put up against the movement of university students or university-trained persons from province to province, compatible standards should be achieved by voluntary co-ordination among those responsible for higher education in the various parts of Canada.

The CAUT considers that the preservation of provincial rights and responsibilities in the field of education need not frustrate efforts to reduce the inequalities of per capita income among provinces and thus to enable all provinces to develop educational services of high basic quality.

Against this background of principles, the main issues related to university expenditure and revenue will now be outlined, and the interests of the CAUT articulated.

II. University Expenditure Priorities

The Canadian Association of University Teachers recognizes that the establishment of other institutions of higher education can enable universities better to perform their traditional functions. The fact that further development of vocational and other post-secondary-school training is overdue, should not, however, be used as an excuse for neglecting university needs. Better means of assessing priorities must be accompanied by very rapid advances in financial support for all forms of higher education.

Canadian universities are facing two major challenges: the need to provide more places for the rapidly increasing population of potential university students, and the need to improve graduate teaching and research facilities. There are, of course, other areas in which the performance of Canadian universities should be improved. Teaching and administrative loads are often too heavy and staff-student contacts are, as a consequence, inadequate. The fields of instruction can also be extended and enriched. But the two challenges first mentioned are the ones which are likely to require the greatest expenditure.

Canadian universities should grow fast enough to provide places for those who want to enter university and who satisfy university standards. The demand for university education will increase because of the growth in population in the relevant age groups and in the proportion of these groups going on to universities (as a result of the increased importance placed on university education and growth in income and increased student aid, which make attendance easier). This expansion can be limited by raising the standards of admission, but such a solution to the problem will almost certainly not be accepted by the community, nor does the Association think it desirable, since, on principle, admission standards should not be determined by the number of places available. Currently university facilities available in Canada have no apparent relationship to academic requirements. A very large increase in both capital and operating expenditures will therefore be required over the next ten years. Academic salaries must be raised, and improved working conditions

provided, to attract and keep more qualified personnel. In particular, the ability of Canadian universities to attract and hold highly qualified scholars will depend on both teaching and research facilities. For example, Canadian universities will have to increase research funds available in such forms as summer research supplements, and research assistance, which at present often attract Canadian graduate students to academic positions in the United States.

New universities will have to be established to handle part of the increase in student population, but it is important that unnecessary and costly duplication be avoided. For example, graduate teaching and research facilities are very costly and the number of first class graduate centers that can be supported is relatively small; the resources that the community makes available for this purpose should not be dispersed among so many institutions that none can reach international stature. For this reason, the Report of the Royal Commission of Inquiry on Education in Quebec has recommended that the new universities to be established have "limited" charters and that the smaller universities in the province limit themselves to undergraduate instruction. Similar specialization of graduate work has been proposed in the Atlantic provinces. While the Association does not take a position on the particular suggestions made for these regions, it does accept the principle implied.

The levels of research and graduate teaching facilities in Canadian universities are inadequate for present day needs. The number of good graduate centers is very small and the top Canadian students generally carry on their graduate studies in other countries, and they are not replaced by students of equal quality which we attract from other countries. This movement tends to perpetuate itself, since lack of good graduate schools handicaps efforts by Canadian universities to recruit new teachers of the best quality, and hence top students continue to go elsewhere for their graduate work. A large increase in resources devoted to graduate studies and research is required to break this circle.

The CAUT supports the conclusion of Edwin C. Williams with respect to library facilities.⁽¹⁾ "Canadian universities, for the most part, are only beginning to face the cost of providing library resources

(1) *Resources of Canadian University Libraries for Research in the Humanities and Social Sciences* (a Report for the National Conference of Canadian Universities and Colleges, Ottawa, 1962).

genuinely adequate for advanced work in the humanities and social sciences. It will not be easy to advance on all fronts, neglecting neither the new research libraries that must be erected nor the existing collections that ought to be improved, but books are the soundest long-term investment a university can make, and many of those that are acquired may serve scholars for centuries." Similar statements can be made for other research facilities in Canadian universities. The earlier reference to the need for research supplements and research assistance becomes doubly important in the context of efforts to build graduate schools.

It is not enough that expenditures be increased, the money must be put to the best use. Priorities have to be established as among buildings, salaries, equipment, books, etc. It is important that university professors play a major role in planning growth and in the establishment of these priorities. They have the experience, special knowledge and interest, necessary for sound decisions on these matters. Academic bodies within universities should have a strong voice in the determination of budgets which, after all, have important effects on academic standards.

In the next ten years many demands will be placed on universities and other institutions of higher (post-secondary) education offering technical and semi-professional training. The role of the university, the type of programs it offers, and the preparation required for entry will be under regular scrutiny. All these areas involve academic standards, and university scholars should be in a position to advise on the programs of institutions preparing students for universities and of those parallel to universities.

III. The Sources of University Income

There are justifications for each kind of financial support normally received by universities. Government support is justified both by the inadequacy of other sources and by the broad social role the universities play. In particular, provincial government support is justified by the ultimate responsibility of that level of government for all educational services in Canada; federal support is often defended in English-speaking Canada on the grounds that through equalization of revenues more adequate basic standards may be assured, and without the exercise of control of educational policy which may accompany provincial support. Private support in its various forms likewise dilutes control. Furthermore, private sources are able to complement governments in making financially possible some of the

activities of university life for which the public purse is more reluctantly opened—art galleries, theatres, athletic facilities, residences and faculty clubs. Finally, even student fees could be justified on the familiar grounds that those who experience private benefits should contribute to the related costs. But this requires that means be found to ensure that fees and other private costs of higher education are equitably borne. Hence schemes have been developed for combining scholarships with loans in various proportions.

Clearly, while it is likely that universities will continue to depend on several sources of revenue, and even desirable that they should, an effort is required to develop principles on which this support shall be based so that the universities will not discover that in depending on many, they can depend on none, like the 'beneficiaries' of the 18th century poor laws. Those who support the universities must come to recognize that higher education as an essential social service can no more depend on the fluctuations in private charity or political enthusiasm than could any other public service or private enterprise. They must be able to command the resources required to do the whole job and they must be able to plan far enough ahead to anticipate and prepare for the growing demand for their services. Any alternative approach is wasteful of the money of government and of the time of university personnel.

In the presence of so many sources of public support, it is not easy to achieve the objectives stated above. However, there are at least two ways of contributing to those ends—to define the role of each financial source so that it is clear to the universities how much support they can expect from each, and to provide techniques and institutions through which the universities can articulate their needs, coordinate their plans, and place their financial requirements before those holding the ultimate responsibility. In the following sections, an effort will be made to define the roles of the various sources of support while in the final section, institutional arrangements will be discussed.

(a) The Role of Governments

There can no longer be much doubt in Canada that governments must bear the principal financial responsibility for education. Differences of viewpoint exist primarily with respect to the roles of federal and provincial governments in this field, and to the appropriate forms of public support.

The most important difference in viewpoint regarding the levels of government is that between English-speaking and French-speaking

universities. The latter stress the primary and even exclusive responsibility of the provinces in matters of education, and the importance of provincial control to the maintenance of French language and culture in Quebec. The former are much more ready to accept Federal support. They tend particularly to stress the federal role in support of graduate facilities since both the advantages of specialization and the mobility of advanced students before and after graduation make the provincial boundaries separating the English-language universities almost meaningless from the point of view of the costs and benefits of graduate training.

These two views are not necessarily irreconcilable in practice. It is conceivable that the federal government may be called upon to assume greater responsibility for the financing of English-speaking universities, while a tax abatement or an opting-out formula would provide the Quebec government with some of the revenue it will require if the far-reaching recommendations of the Parent Commission are to be implemented, in the interest of both French- and English-speaking universities in Quebec.

Furthermore, the above arrangement does not prevent long-range planning of higher education and research by the federal government in concert with the governments of English-speaking provinces and their universities, if such a program is desired. Indeed, it should not be thought impossible to contemplate the development of voluntary inter-provincial co-operation which might involve French- and English-speaking universities under conditions that would make federal contributions, especially to research and scholarship, acceptable as well as desirable, reflecting a national interest in biculturalism.

The basic approach to finance by both levels of government was discussed in the Association's 1964 brief to the federal government and the report of its Committee on University Financing.² There

(2) See pages 5-8 of the Brief to the Minister of Finance on the Financing of Universities, Jan. 27, 1964, and p. 11 and Appendix C of the Report of the Committee on University Financing of the CAUT, June 1962. The former should clearly take precedence as an expression of the views of the CAUT on federal grants.

These documents suggest various means by which grants might be related more closely to university needs, thus enabling planning of expenditures and the accommodation of income to changes in operating costs. It is emphasized that while such formulae should cover the basic needs of universities from year to year and should be constructed so as to take account of growing financial requirements, they cannot be expected to cover all factors affecting financial needs. Governments must be prepared to supplement grants based on such formulae, making allowance for the special requirements of new universities, and similar atypical situations.

should be a formula or formulae which recognize the changes over time in the costs of higher education and numbers of those eligible to receive it. Whatever the role of the federal government, it should not be defined arbitrarily or be allowed to erode merely because the formula is inappropriate or because of political inertia. As for the provincial government, it must be stressed that this level of government is primarily responsible for making possible the rational long-term planning of university development, and of meeting short-term contingencies of both operating and capital budgets.

(b) Fees and Student Aid

As stressed in the 1962 report of the Association's Committee, whatever role student fees should play, they should not vary from province to province merely in order to complement other revenues. The two questions concerning fees most often raised are these: Should there be fees at all? And if so, to what extent and in what form should they be counterbalanced by scholarships, loans and other forms of aid?

The arguments for continuing to require of students (or rather of their parents in most cases) payment of more than merely nominal or token fees relate primarily to the following two considerations:

- (i) A student who earns a university degree acquires significant private benefits.
- (ii) Requirement of a fee supports the probability that more resources are thereby made available to higher education. This depends, of course, on the extent to which fees are balanced by various forms of student aid.

It is possible to argue that university education, like primary and secondary education, should be treated as a social investment which benefits all besides those who are the immediate beneficiaries. At the same time the latter are a limited fraction of the population and it can be argued that some purely private benefits will be enjoyed by those who successfully complete university courses and that some private payments are therefore justified. The importance of the latter argument is reduced to the extent that other appropriate facilities for higher education are developed to meet the needs of those who do not qualify for university education. In any case, it is difficult to segregate private from social benefits. The question raised by present

practice is this: do fees which cover 20% or less of the cost of higher education measure the extent of purely private benefits?

Whatever the answer to this question, it must be emphasized that fees are only a part of the costs of university education. The principle which the Association wishes to support is that these combined costs should not be permitted to act as a deterrent to those who are capable of undertaking a university education. The fees and the forms of student assistance adopted should together contribute to the embodiment of the principle.

One can criticize the present system of student aid in many ways. Such aid may destroy incentive. Equally it ensures a private benefit for which the beneficiary may have been prepared to pay the cost in whole or in part. Moreover, many of the usual forms of student aid are discriminatory. Scholarships, bursaries and loans do not take into account the uncertain predictive value of entrance standards, the higher living costs of students attending a university away from home, the different capacity of graduates in different fields to repay loans, etc.

Indeed, the rapidly spreading practice of student loans calls for a sober appraisal of their role in making possible a university education. Our primary concern is with academic values not with financial considerations. There is a risk (to say the least) that student loan programs influence the type of training a student chooses to follow. They are likely to lead to undue preference for courses leading to the acquisition of readily marketable skills, and to discourage graduate and post-doctoral training, both of which are more and more the hallmarks of the intellectual horizons of the community. Beyond these primary academic considerations there is the correlative danger that the desire to avoid losses to guaranteeing institutions might affect the standards for evaluating students' performances. There are some more strictly economic aspects of students' loans that merit attention. Where such loans are guaranteed and partly administered by public or semi-public organizations, the commercial institutions that provide the funds are given an investment opportunity involving no risk and little effort.

What the foregoing considerations suggest is that an efficient (in its academic results) program of student aid might be based on the following policies:

- (i) There should be no fees, or a remission of fees for successful

students, for the first year of university since it is in that year that fees are likely to prove the greatest and most unequal deterrent and the poorest measure of potential net benefits to the individual student.

(ii) Scholarships and bursaries should take into account the differences in living costs of students who come to a university away from home.

(iii) Loans should be used particularly for assisting advanced or graduate work where the private benefits are most clearly identified and where repayment is likely to be neither so burdensome nor long delayed.

The Association believes that not only must no able student be prevented by lack of means from embarking on and completing his higher education but that the best way of assuring this objective is to back it with the commitment of public funds to cover most of the direct costs of university education.

(c) Private Support

It must be recognized that private support for universities is likely to be of only marginal importance in the future. This does not mean that it is unimportant. As implied earlier in this submission, there are many kinds of university activity which it is easier for private than for public sources to support.

In the 1962 report of the CAUT Committee on University Financing, it was suggested that there is room for more initiative on the part of the C.U.F. and of individual university administrators with the objective of promoting and coordinating private financial support. Since private contributors often prefer to support particular projects, with which their contributions can be readily identified, university authorities should attempt to devise more attractive and appropriate capital projects in order to attract private endowments, and should also endeavour to establish priorities which will help to ensure that private contributions are more wisely used.

The Association also supports the idea that alumni should contribute annually to the cost of current university operations since such methods are most likely to tap smaller individual contributions and thus to provide a net increase in the total private support available.

IV. The University Grants Committee and the Distribution of Revenues

As implied at several points in this submission, the efficient use of all forms of university income will be affected by the criteria and method of its distribution. This is so whether it is the distribution of public grants or the administration of private gifts or student aid which is involved. Thus the CAUT considers it essential that members of academic faculties play an important role in determining and applying the criteria for use of university funds. This is in part a question of internal university organization, but it has wider implications as well.

In particular, institutional arrangements embodying the characteristics of a university grants commission should be set up for the distribution of provincial funds to universities. This is essential for several reasons of which the most important are the protection of academic standards and of academic freedom. Any such grants committee should be so constructed as to reflect the interests of the academic professions. Otherwise it is difficult to see how the funds can be meaningfully allocated. It is, of course, recognized that such an institution should not be permitted to become a locus for "log-rolling" by academic interest groups of particular universities. Many particular suggestions have been made regarding the appropriate nature of the required institution. The Association calls attention to the "Bureau for the Development of Higher Education" suggested by Quebec's Parent Commission in its report (Part 2, p. 248).

Bora Laskin, President, CAUT.

H. E. English, Chairman,

Committee on University Financing, C.A.U.T.

April, 1965

THE BLADEN REPORT AND THE UNIVERSITIES OF THE ATLANTIC PROVINCES:

TWO PLUS TWO EQUAL THREE

This brief comment is limited to the Bladen Commission's handling of the situation of the universities of the Atlantic Provinces*, which have been severely handicapped by inferior financial support compared to universities in the other provinces. This situation arises from the inferior fiscal capacity of these low-income provinces. Even if they impose as heavy tax burdens to finance higher education as do the wealthier provinces, as they should be expected to do, the resulting revenues available to their universities will be considerably less.

It is hardly necessary in this journal to dwell on the national importance of the functions performed by the universities wherever in the country they are located. To recognize this is simply to understand modern mobile industrial society. Nor is it necessary to labour the importance, possibly crucial, of universities to the economic and social improvement and rehabilitation of the lagging Atlantic Provinces, which again is of national concern.

CAUT explicitly recognized this in its brief to the Minister of Finance, of January 27, 1964, in proposing a national goal for support of universities:

The basic national goal for the financial support and development of the universities should be for the federal and provincial governments and private industry to act in concert to provide the financial support necessary to enable the universities to discharge their extraordinary responsibilities on the scale required of them, support that will enable them, among other things, to pay salaries and provide facilities sufficient to attract to and retain in the academic profession the required number of able scholars in competition with non-academic posts in Canada and elsewhere, particularly the United States. This must be done in such a way that will put comparable universities in the different regions of the country on equal terms with respect to payment of staff and provision of facilities, something that past policies have utterly failed to do.

* The criticism offered on this point is not intended to detract from other very good features of the Report.

If federal policy regarding the universities means anything, it must assure the achievement of the objective in the last sentence of the above quotation.

It would seem axiomatic that one role of federal policy on university finance is to assure that comparable universities in all provinces receive comparable support. Yet the Commission's recommendation of the payment in larger amounts of the same per capita operating and capital grants to each province, while substantially increasing the general level of support for all Canadian universities, would leave the universities of the Atlantic Provinces in exactly the same position of relative financial inferiority they presently occupy.**

Why the Commission failed to recommend the obvious remedy of this situation by an equalization element in the grant formula is unfathomable; for in its analysis, it clearly recognizes, throughout the Report, the special plight of the universities of the Atlantic Provinces. Witness the following examples:

1. "... in 1962-63, the average cost per student in the Atlantic Provinces was \$1,259, the national average was \$1,850; the average cost in Ontario was \$2,105. The magnitude of this difference is surely indefensible. In so far as this difference has been reduced (and there is evidence of this in the 1963-64 data just published), our projection will provide for continued narrowing, but it probably gives an underestimate of what would be necessary to enable the universities of the Atlantic region to achieve the level of excellence to which they, and the communities they serve, ought to aspire." (p. 27)

2. "... capital investment per additional student (in the Atlantic Provinces) for the years 1961-62, 1962-63, and 1963-64 was, on the average, two-fifths that of Ontario and one-half that of Quebec and the Western Provinces. As costs in this region are not very different from those of the other regions, significant backlogs have accumulated and continue to do so. The level of capital expenditure in the Atlantic Provinces may have to be tripled and even quadrupled to enable them to reach a normal Canadian standard of university facilities." (p. 28)

3. "Students' fees, on the whole, have increased at about the same rate as personal incomes. They are higher in the

** A general and fundamental objection to straight per capita grants from the federal government to the provinces in support of *any* service is that the low income provinces — those with inferior fiscal capacity — must impose *heavier* tax burdens to pay the balance of the cost of any given level of that service.

Atlantic Provinces and lower in the Western Provinces. This reflects the financial difficulties of the Atlantic universities in recent years. It is paradoxical that fees should be the highest in the poorest area of the country." (p. 31)

4. The university enrolment as a percentage of provincial population in the university age group, 18-24, in 1964-65 was 8.2 per cent in the Atlantic Provinces compared with 9.2 per cent for all of Canada. (p. 13)

5. The median salary in the Atlantic Provinces in 1964-65 was \$8,419, compared with \$9,668 for all of Canada. (Table 8, p. 98) This comparison probably understates the differences in effective salaries for comparable posts. Recent developments indicate a widening gap. (Author's comment.)

6. "The Atlantic Provinces have the greatest proportion of students from outside the region, amounting to some 25 per cent of their total enrolment in 1963-64; the vast majority of these students went to universities in Nova Scotia and in New Brunswick. The corresponding figures for the other regions in 1963-64 are: 17 per cent in Ontario; 11 per cent in British Columbia; 9 per cent in the Prairie Provinces; and 8 per cent in Quebec." (Pp. 12-13)

The Commission's Report also explicitly acknowledges, in a reference to a submission made to it, presumably the one from the Association of Atlantic Universities, that general equalization payments to the Atlantic Provinces "have not been generous enough . . . to put their universities on an equal footing with those in other parts of the country." (p. 39.) Moreover, while it may well be that some of the Atlantic Provinces, particularly Nova Scotia, have not in the past made as great an effort as the central and western provinces in support of their universities, these provinces are showing signs of rapidly moving to this position, and, even when they do, their support will fall far short of that which the wealthier provinces can provide, with similar tax burdens. Every pressure must be put on these provincial governments, and is being put on them, to see that they discharge their share of the responsibility in full. In fact it is clearly in the interest of low-income provinces for them to do more than this.

All of the excellent diagnosis of the Report leads to the logical conclusion as to what should have been recommended, namely, that the federal government should adjust its support to the universities in the Atlantic Provinces in order to compensate for these provinces' inferior fiscal capacity and their high proportions of out-of-province students. It is very easy to devise a formula to do this, by making the

grants vary in inverse proportion to personal income per capita (a rough measure of fiscal capacity) and adjusting them further for variations in out-of-province students. This, incidentally, is exactly what was proposed in the 1964 CAUT brief to the Minister of Finance:

We also recommend that distribution be made on a more equitable basis than at present, to take explicitly into account the diversity of needs and means among the provinces. The distribution could be based essentially on the provincial populations in the age group 16-24, but adjusted to take into account the varying proportions of out-of-province students, and the inferior fiscal capacity of the low-income provinces (possibly by making the grants per person in the 16-24 age group vary in inverse proportion to provincial personal income per capita). In spite of the federal equalization payments to these provinces with respect to the three direct taxes, their revenue per capita from other provincial sources still falls far short of the amounts obtained at comparable rates of taxation in the higher income provinces. The Atlantic Provinces Adjustment Grants, although a help in this respect to the Atlantic Provinces, do not provide nearly the degree of equalization required with respect to these other sources to place them on a comparable footing with the wealthier provinces. Unless generous adjustment is made in the distribution of federal operating grants to take the relative paucity of revenues of the low-income provinces into account, the universities in these provinces are doomed to becoming second class institutions. These universities, like those in other parts of the country, serve the whole nation. They are already having enormous difficulties in trying to retain and recruit staff of a calibre comparable to that in universities elsewhere at salary scales substantially below those in universities in Central and Western Canada. The whole nation would suffer from a deterioration in these universities which have long and fiercely struggled to maintain high academic standards.

The Bladen Commission did examine the possibility of distributing grants on the basis of population of university age, but found that, although it might be more rational, the resulting distribution among provinces would differ little from simpler and recommended method of using total provincial populations.

The problem of adjusting for differences in proportions of out-of-province students may require further analysis. There is likely to be little question but that such adjustments should be made, providing admission standards are at least as high as in the provinces from

which the students come. The parochial alternative of denying admission to qualified out-of-province students would be a self-defeating practice, inimical to the inherent concept of a university. Adjustments for out-of-province students could be reduced to the extent that such students were not admissible in their own provinces although it is unlikely that this situation occurs to a significant degree. The tendency is to require at least as high, and in some cases higher, standards in the universities of the Atlantic Provinces for outside students compared to those required in their home provinces. In Dalhousie, for example, a 75 per cent average is presently required for students from outside the Atlantic Provinces entering from junior matriculation and 65 per cent from senior matriculation. Beginning in 1966-67, students will be admitted only from senior matriculation. The other Nova Scotian universities will likely follow suit.

The proposed method of distributing federal grants also avoids the problem of inter-provincial differences in the number of years of high school required for university admission. The point is also carefully dealt with in the 1964 CAUT brief:

In earlier examinations of the problem of distribution of grants, it has been proposed that the federal operating grant be distributed to universities according to enrolment, that is, on a per student basis. This is, in general, a more equitable basis than the present one, for the number of students enrolled is a better indication of actual need than total provincial population. There is, however, the problem of arriving at a definition agreeable to all provinces of what constitutes a student for grant purposes. And there is the problem of a province like Newfoundland, which would be penalized by payment of grants on a uniform per student basis; for its present low ratio of students to population is an indication of inadequate provision for higher education and of the need for expansion of facilities. Probably the distribution of federal grants within provinces will continue to be based on enrolment, although higher amounts should be paid for graduate than for undergraduate students. When the universities in the different provinces are developed to a comparable extent, and when a mutually agreed definition of what constitutes a university student can be arrived at, the federal operating grants might appropriately be distributed among the provinces on a per student basis. Adjustments would still have to be made for differences in provincial fiscal capacity, but not for differences in proportions of out-of-province students, since such differences would then be automatically taken care of.

This brings us to what the Bladen Commission did recommend on the question of equalization. While admitting the special claims of the Atlantic Provinces, they state:

We have heard from many quarters arguments that there should be supplementary grants to certain provinces based on some index of need. We have rejected these arguments, not because we are unaware of, or unsympathetic to, the problems of the poorer provinces, but because we believe that the special fiscal needs of these provinces should be dealt with by general equalization grants. To confuse aid to universities and equalization of provincial fiscal resources seems to us unwise, particularly at a time when the general problem seems likely to receive full attention. (p. 73.)

In taking this position, the Commission has unaccountably turned its back on the logic of its own analysis and has abnegated its responsibility. The argument that general equalization grants should be sufficient to enable the low-income provinces to provide all types of services, including higher education, at levels comparable to those in the wealthier provinces, is virtually unassailable on economic, political, and ethical grounds. But there is absolutely no evidence that this will come about now or soon, or in the foreseeable future. Anyone who has looked at the long history of intergovernmental fiscal adjustment in this country knows this. The Commission was, perhaps, not aware of how far the present equalization payments, including the Atlantic Provinces Adjustment Grants, fall short of the amounts necessary to compensate for inequalities of fiscal capacity. Nova Scotia alone in 1963 would have required approximately an *additional* \$25 million to bring its levels of services up even to the national average, with comparable tax burdens, and \$50 million to bring them up to the average of the two wealthiest provinces. The only tenable position for the Commission to have taken, believing as it does in the principle of equalization,—and it was the easiest and most obvious thing in the world for it to do—was to recommend the inclusion of an equalization element in the formula for federal university operating and capital grants until such time in the uncertain future as adequate general equalization grants are introduced.

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REFLECTIONS ON THE BLADEN COMMISSION REPORT

The Bladen Commission's terms of reference were "to study and report and make recommendations on the financing of universities and colleges of Canada, with particular reference to the decade ending in 1975". Such a task involves both forecasting and planning. The Commission has chosen the path of making fairly conservative forecasts, and has steered away from the problem of how large, as a matter of policy, university requirements ought to be. Following these conservative forecasts are some fairly conservative recommendations as to how prospective requirements are to be financed.

The Forecasts

As a basis for forecasting financial requirements the Commission uses the forecasts of fulltime student enrolment made by E. F. Sheffield for the Canadian Universities Foundation. These estimates were first made in 1955 and revised every two years. Except for the last revision in 1963, Sheffield's forecasts for the years to 1964) the latest for which statistics are available) have been consistently too low by a significant margin, even though every revision raised the estimates. It appears that the main weakness in the forecasts was the prediction of "participation rates"—the ratio of student enrolment to men and women in the 18-24 year age group. These ratios have been rising rapidly since 1952 and they were forecast by projecting an exponential trend line fitted to the observations starting in 1953. Actual rates rose faster than the fitted lines, and as new lines were fitted to the growing set of observations the forecasts were necessarily revised upwards. The last forecast, made in 1963, hit the enrolment figure for 1963/64 (which was not available at the time) on the nose, and slightly overestimated enrolment for 1964/65, but these happy results cannot be attributed to increasing skill on the part of the forecaster, since exactly the same technique was used as before. The exponential trend was not, however, continued beyond 1966 since, when fitted to the newly available actual enrolment levels, "extension of trend lines to 1976 yielded participation rates considerably greater than those ever reached in the United States".¹ The fitted trend line was therefore replaced by the assumption, based on comparisons of Canadian and United States statistics, that the United States participation rates of 1961/62 would be reached

¹ *Enrolment to 1976-77*. Canadian Universities Foundation, Ottawa, 1964, p. 7.

in Canada in 1976/77. Thus one mechanical rule has been replaced by another.

The Bladen Commission did not seize the opportunity to make a statistical analysis of the social and economic factors influencing the participation rate instead of using these mechanical extrapolations. It accepted the Sheffield projections as "the most reasonable available estimates" even though, in the preceding sentence, it recognized that "the Sheffield figures can be considered . . . to provide a minimum estimate" (p. 14). Here is the first source of conservatism in its forecasts.

An analysis of the factors influencing the participation rate would also have focussed attention on the fact that the participation rate is influenced by public policy and in particular is likely to vary with public policy relating to the financing of universities and student aid. In the context of the Commission's assignment it is therefore a variable that should have been *planned* rather than *forecast*. The Commission is not unaware of this. The sentence quoted above is followed by the statement that the Commission accepts the Sheffield forecasts as "the minimum goals for which Canadians must strive", but it is not explained why we must strive for these goals rather than others. The Commission then discusses two approaches to the planning of participation rates, both of which it rejects. One is the planning of university enrolment to meet estimated "manpower requirements" in various fields, and the Commission is on sound ground in rejecting this procedure. The other is the assessment of the "pool of ability" which would presumably limit university enrolment if greater equality of opportunity were provided. This is rejected on the quite inadequate grounds that "the intelligence quotient is not an adequate measure of biological ability", backed up by a quotation from the report of the Robbins Committee (U.K.) to the effect that there is no risk that the growth in the participation rate will be restrained by a shortage of ability in Britain within the next twenty years. The Bladen Commission concludes that "our government must estimate the demand on the part of students for higher education and try to meet it", and suggests that the Sheffield projection "is the best estimate we have of this rising demand" (p. 20). It is not at all clear what this means. If the "demand" is to be based on equality of opportunity then it is most likely to exceed the mechanical minima of the Sheffield projections and must be estimated by some sort of "pool of ability" calculation. If it is based on present patterns of gradual change in the degree

of equality of opportunity, it will be a great deal lower than realistic "pool of ability" calculations will suggest and closer to the Sheffield minima. One must guess that it is the latter pattern that the Commission has in mind (we shall come back to this matter when we discuss the recommendations relating to Student Aid) and thus conservatism in the forecasts is linked to conservatism in the policy aims.

The next step in the forecasting procedure is the projection of average university operating expenditure per student. This is done simply by fitting a trend line to operating expenditure per student for the ten years 1954/55 to 1964/65 and projecting it. Thus the figures for financial requirements are not based on any inquiry into even such elementary questions as whether expenditures per student have been adequate for the proper functioning of universities, whether expenditures ought to vary in strict proportion to student enrolment, whether the trend in real expenditure over the last 10 years (i.e. at constant prices and salaries) has been up or down, how price and salary increments in the future are likely to be related to those in the past, how operating expenditures are affected by changes in the proportion of graduate students or the proportions in different faculties, and so on.

The mechanical approach, as in the case of student enrolment, also ignores the fact that operating expenses are a policy variable that should be planned rather than forecast.

Some of these matters are discussed, very briefly, after the presentation of the estimates. The Commission stresses the expectation of a rapid rise in the proportion of graduate students, and the fact that the past level of support has been inadequate, particularly in regard to research, library facilities, and teaching staff for graduate students. It concludes that the estimate of future cost is likely to err on the low side" (p. 27). Here is a further source of conservatism in the forecasts.

In a recently published article Ian Drummond estimates that "in universities, the *real* expenditures per student . . . have been *falling* for a decade".² If this is correct, the Commission's mechanical extrapolations involve projection of *declining* real expenditure per student for the next decade.

² Ian Drummond, "Some Economic Issues in Educational Expansion" in A. Rotstein (editor) *The Prospect of Change*, Toronto, 1965, p. 271.

Even the most conservative forecasts of university requirements look staggering in terms of the rate of increase for the next ten years. The Commission estimates that between 1964/65 and 1975/76 student enrolment will rise from 178 thousand to 461 thousand, university operating expenditures will rise from \$337 million to \$1675 million, and capital expenditures from \$200 million to \$357 million.

The Recommendations

The total cost of the Commission's recommendations for *government* contributions to the financing of universities and students is as follows (in millions of dollars)

	Actual ³ 1963/64	Estimated 1964/65	Recommended	
			1970/71	1975/76
Government contributions to:				
Operating Costs	161	202	647	1173
Capital Costs	100	133	312	286
Student Aid	(20)	20	153	245
Total	(281)	355	1112	1704

The Commission does not give any figures showing the implications of its recommendations regarding the breakdown of these totals between the Federal and Provincial Governments. It recommends that there be annual discussions on this question.

To see what these recommendations mean to the taxpayer they may be related to the Economic Council's projections of national income, government expenditure, and government revenues. These comparisons are shown in the following tabulation:⁴

³ No estimate for government contributions to student aid is given by the Commission for 1963-64. I have assumed that the amount is about the same as in 1964-65. Very possibly it was less.

⁴ Lines (2) to (4) are computed from data in Economic Council of Canada, *Economic Goals for Canada to 1970*, (Ottawa 1964), pp. 48, 57, 114, 116, 123, 125.

	1963	1970
	(millions of dollars)	
(1) Government Contributions recommended by Commission	281	1112
(2) Gross National Product	43200	72100
(3) Government Revenues at 1963 Tax Rates	12900	24250
(4) Government Expenditure, including Bladen Recommendations for Universities and Economic Council Estimates for other items	13600	22100
	(percent)	
(5) (1) as percentage of (2)	0.7	1.5
(6) (1) as percentage of (3)	2.2	4.6
(7) (4) as percentage of (3)	105	91

Compared to the projections of the economy's total output or total tax revenue, the expenditures recommended by the Commission will still be quite small in 1970, but they will be more than twice as high as in 1963 (lines (5) and (6)). Nevertheless, they will not require any increase in tax rates, if the Economic Council's estimates of other government expenditures are even remotely realistic. On the contrary, at present tax rates a substantial surplus of revenue over expenditure is indicated. Tax revenues will rise more than in proportion to real output and prices in view of the progressive structure of income tax rates. On the other hand large items of government expenditure (e.g. National Defence) will not rise in real terms unless prospective policies are very drastically revised, while others (e.g. primary and secondary school education) will rise more slowly than in the past because of changing requirements, (e.g. the changing age structure of the population). As the Economic Council points out, the problem over the next five years will not be to find tax revenues to finance necessary expenditures, but rather to cut tax rates or develop new programmes of government spending so as to prevent the government sector from depressing total demand and employment. This does not mean that in considering how much should be spent on higher education there are no choices to be made or alternatives to be considered. Tax cuts are always an important and popular alternative to government expenditure. But it is important to understand just what the choices are. It will be possible to increase government spending on higher education to a much greater extent than envisaged by the Bladen Commission and still reduce tax rates substantially.

Whatever reasons there may be for conservatism, the fear of rising tax rates is not a legitimate one.⁵

The main specific recommendations for the financing of universities include an immediate increase in the Federal operating grant from \$2 to \$5 per head of population (followed by further increases unless other arrangements are made by Federal-Provincial agreement), and an annual Federal capital grant of \$5 per head of population. Substantial increases in Federal support for research are also called for. Provincial governments are urged to establish "Grants Commissions" where this has not yet been done and to base operating grants on fixed formulae.

Fees and Student Aid

The Commission favours the maintenance of fees "at about the present level" (p. 70) and recommends that universities remain free to set their own fees, and that government grants should not be adjusted to take account of fee differentials. Provincial student aid for undergraduates should be "adequate" while aid to graduate students should be "generous" (pp. 70, 71). Undergraduate aid is to be based on a formula involving a means test. After the first year, half the "aid" should be in the form of loans. In addition the Federal Student Loan Plan should be "increased as becomes necessary" (pp. 69, 81, 82). For graduate students the Commission proposes support "on a scale that approaches the point of 'free education'" (p. 65) without dependence on loans and without means test.

The Commission appears to be aware of the conservatism of its recommendations for undergraduate aid. "We shall not propose a radical change. The present pattern must be taken as a starting point . . ." (p. 66). The main reasons given for rejecting less conservative approaches are first, that "justice requires that those who enjoy the major benefit should be expected to make a substantial contribution to the cost" and secondly that in view of the competition for the tax payer's dollar, "the less the state must raise for the programme of university expansion, the more likely is the full implementation of that programme" (pp. 63, 64). The first argument is buttressed by a reference to "social cohesion". "Surely there is a danger

⁵ There will of course be the problem of allocating tax revenues in accordance with expenditures between the different levels of government. Hence the Commission correctly emphasizes the importance of annual Federal-Provincial discussions.

of friction between those who do not attend university and those who do . . . if the former feel that they are paying to enable the latter to live better and achieve higher status". (p. 63). The second argument provides the basis for retaining the means test.

Since the argument concerns the extent to which the present distribution of costs between the student and the tax payer should be shifted, it is surprising that the Commission does not present an estimate of what the present distribution is. Table 1 suggests that on the average the undergraduate pays nearly two thirds of the full cost of his university education and the taxpayer well under one third. The figures in the table are estimates, some of them quite rough, based on data in the Commission's report and in Dominion Bureau of Statistics Bulletins, supplemented by one or two reasonable guesses⁶. The cost of attending university, to the student and to society, includes the sacrifice of full time earnings, which are between two and three times as high as the student's frugal living expenses. The cost to society also includes interest and depreciation on the university's capital, since these items measure the alternative uses to which the resources that have gone into plant and equipment could have been put.

That the high cost to the student leads to great inequality of opportunity is recognized by the Commission. Our table shows that the abolition of fees would not change this situation radically, since it involves a shift of only 10 per cent of the total cost, and would still leave the student and his family paying more than half the total.

I agree with the Commission, that it is better to provide more student aid to meet the fees than to lower or abolish fees. Fees do provide an element of independence of government financing, and in view of the present trends to Provincial autonomy, the danger of excessive dependence on Provincial governments must be stressed. It is a fact of political life that the incidence of reactionary attitudes, anti-intellectualism, and responsiveness to the interests of economically powerful groups is particularly high in Provincial governments. Provincial governments have now learned that the voters want undergraduate education for their children, but they are still backward in supporting graduate work and research, and this attitude is not irrational since a good deal of the benefit from these activities "spills over" to other provinces and other countries.

⁶ I shall be glad to supply a mimeographed account of methods and sources on request.

A minor consideration in favour of fees is that there is no case for abolishing fees charged to foreign students, so that the abolition of fees for Canadian students would involve administrative problems and might result in competition for foreign students. As the Commission points out, it would of course be most undesirable to charge differential fees to Canadian students from other provinces.

It is probable that the strong student sentiment in favour of abolition of fees stems from the recognition that this step would represent a universal form of student aid, without a means test and not subject to special academic tests. My view is that such aid can and should be given without abolishing fees.

The Commission's reliance on loans and the means test seems unduly conservative. The Canada Student Loan scheme has the astonishing feature that the student bears the full risk of academic or professional failure, unemployment or illness, which would affect his ability to repay interest and principal, while the banks are guaranteed a risk-free profit. Moreover (as the Commission points out in its discussion of graduate financing without, strangely enough, applying the lesson to undergraduates) "the repayment of his loan would come at the point in his career when he most needs capital to establish a household and before his income had felt the full effect of his improved qualifications" (p. 65). Loans tend to deflect students from those lines of study that lead to financially less attractive careers, that is, in the main, the arts and humanities.

The Commission does not propose any change in the present loan arrangements and conditions, even though it mentions that schemes have been proposed by others (e.g. "equity financing") which would, to some extent at least, shift the risk from the shoulders of the student.

The goal of equality of opportunity would be far better served by a loan scheme which included insurance against academic failure and illness, and involved repayment on a schedule related to earnings, and perhaps the "equity" principle of dividends related to earnings, instead of interest. Nor does it need to involve a gift of risk-free profit to the commercial banks. It could be operated by the government and financed by the sale of "shares" to the public, thus enabling all to share in the financial benefits of higher education. Loans, moreover should not account for more than a minor part, perhaps one quarter, of a student's cash requirements, if they are not to be a serious deterrent to the able potential student from a poor family.

The means test has been discussed often enough in connection with social legislation, and it is surprising to find a responsible body advocating it in this day and age. The Commission feels a little uncomfortable about it - "the system should minimize the inquisition usually associated with means testing" (p. 81) - but persists nevertheless. For students under 21 (i.e. most undergraduates) the means test is to be applied to the parents' income (both parents?) regardless of whether the parents are prepared to contribute to the student's expenses. This position is maintained despite the fact that society, and the income tax law, treat the 18-year old who does not attend university as no longer the financial responsibility of the parents. Moreover to base the means test, as the Commission proposes, on income tax returns, means discriminating in favour of those in farming, independent business, or professional practice and against wage and salary earners. One can think of endless complications (what about the children of divorcees?) but why bother. The means test is obnoxious and unnecessary.

What about "social justice" and "social cohesion". I agree that there is a case for requiring the student to pay for a significant part of the cost of his education, the question is, how much. Suppose the student were paid a grant amounting to the full average cash outlay, less an amount of \$700 (at 1963/64 levels) to be financed from summer savings and loans. (We estimate \$400 for average summer savings and \$300 for loans but the pattern might vary. The Bladen Commission estimates \$500 for summer savings). Such a grant would require about \$1000 per student at 1963/64 levels (cash outlay on fees, books etc. and living costs were about \$1700. See Table 1). This would still leave the student paying about \$2200 (loss of earnings plus books etc. plus fees less grant) of the full cost of his education, or 45 per cent. Such an arrangement would provide all students with the cash required to attend university, and I suggest that the student's contribution to the total cost would still be more than enough to satisfy any possible requirements of "social cohesion". The national benefit from higher education is now well recognized. We observe that there are states in which education is free and countries in which students are paid a living allowance in addition to free education, evidently without an anti-intellectual revolt by the tax payer. We observe further that the Canadian tax payer seems to be prepared to subsidize farmers, gold mines, shipyards, etc. with at best an illusory benefit to himself, whereas the benefit from higher education is real and demonstrable.

TABLE 1
Average Full Cost of University Education
Per Undergraduate Student
1963/64
(\$)

Item	Cost per student	Paid by			
		Student from summer work	Student or family from other sources	Governments	Other
	(1)	(2)	(3)	(4)	(5)
A Loss of earnings ^a	2500	710	1790	—	—
B Books, supplies, dues, transportation	200	—	200		
C Operating costs					
D Fees ^c	480	—	480	—	—
E Excess of costs over fees ^c	1350	—	—	1080	270 ^b
F Less: University-financed student aid	-20	—	-20	—	—
G Other non-repayable student aid ^d	—	—	-150	90	60
H Interest & depreciation on University capital ^c	360	—	—	270	90
Total	4870	710	2300	1440	420
Percent	100	15	47	29	9

^a Includes living costs. These averaged \$1030 for a single student living away from home.

^b Includes \$40 excess of expenditure over revenue.

^c Figures on operating costs and capital are probably slightly too high since they are based on all students, and costs per graduate student are generally assumed to be higher than costs per undergraduate. The error is not likely to be large, however, since the proportion of graduate students is only 7%. The effect of this bias is to overstate the proportion of costs paid for by governments and "other".

^d These figures may be too high since they are based on the Bladen Commission's inquiry for the year 1964-65. The effect of this bias would be further to overstate the proportion of costs paid for governments and "other" contributions.

Finally the Commission's insistence on second-best solutions in order to economize ignores the fact that the prospective fiscal problem is a large excess of revenue over expenditure. The Commission mentions "medicare" as a competing claim, but the full implementation of the Hall Commission's recommendations on health services would only

add \$400 million to the cost by 1971.⁷ This is a small fraction of the prospective surplus.

These considerations seem to me to point to the need for a nationwide system of student grants, and it should probably be a federal system, since it would provide a way of channelling federal funds into the universities without influencing their educational policies. Our figures suggest that the system might start with grants of \$1000 to all full time students in good standing who are Canadian citizens or the children of landed immigrants, tenable at any university member of the AUCC that does not charge fees, above, say \$500. It may be necessary to vary the grant between faculties, and it would be necessary to raise it (and the fee ceiling) over time in accordance with rising university operating costs and living costs. At 1964/65 enrolment levels such a scheme would cost about \$170 million, but since some of the present schemes could be abandoned there might be a saving of about \$10 million. In addition the Federal government could repeal the useless and regressive income tax provision which permits a tax payer to claim a son or daughter attending university as a dependent, thus saving a further amount which is probably of the order of \$20 million to \$30 million. The net cost of a radical change in the system of student aid is really not very great.

Reading the report of the Commission one gains the impression that its conservatism is largely due to considerations of political expediency. In fact this position is nearly explicit in its discussion of the need for economy in the use of public funds. The Commission appears to feel that politicians and the public would be scared off by a more aggressive presentation of the case for equality of opportunity and more realistic forecasts of financial needs. I am not in a position to dispute the Commission's political judgment. "It's not my field", as they say in the faculty club. But someone has to present the full case for public expenditure on higher education, and the Commission has not done it.

Gideon Rosenbluth

University of British Columbia

⁷ The Hall Commission's forecast of the increase in *public* expenditure is larger, but this reflects mainly the proposed change in the method of paying medical bills if the proposal for a public prepaid scheme is implemented.

FINANCING HIGHER EDUCATION IN CANADA — SOME CRITICAL COMMENTS

Public reaction to the recommendations of the "Bladen Commission" has been highly favourable, and certainly the Commission is to be commended for alerting Canadians to the financial crisis in higher education. Nevertheless, several features of the Report are disturbing: the over-emphasis on the material benefits of higher education; the under-emphasis on support for the social sciences and humanities; and the virtual absence of any emphasis on the role of good teaching in higher education.

"Because we believe that higher education is concerned with other things besides increasing productivity, our case for increased expenditures does not depend on the proof that it generates the increased income necessary to pay for it. But to the extent that it generates any part of that necessary income the difficulty of implementing the programme is reduced. To the extent that the expenditure of universities is investment in research and development the probability of generating the necessary income is that much greater."

In the first sentence of the above statement from the Report and elsewhere throughout the Report, lip-service is paid to the basic values of higher education, but the last two sentences of the statement illustrate the main justification throughout the Report for increased expenditures. At the risk of being unfair to the Commissioners, their arguments might be summarized and paraphrased somewhat as follows: "Spend more money on higher education; this will produce more graduates capable of earning more money, paying more taxes and thus contributing to greater economic growth; in turn, there will be still more money for higher education and (presumably?) a better Canada."

This approach ignores or at least discounts the contribution higher education should make to those aspects of the good life not associated with material benefits—spiritual, aesthetic, cultural and social values. A university should be concerned with the education of the whole man, whereas a technical institute is primarily concerned with training individuals to perform technical functions. This is not to dismiss the importance of technical functions or of material well-being, but it is to suggest that the good society no less than the good man must be judged on grounds other than money income. One need not revert

to the out-moded argument for an "educated elite"—what is at issue is an "educated society" instead of merely an economically productive society.

Furthermore, the Report is a recommendation to governments, or at least it will be the basis for a recommendation to governments. Let us suppose that governments take the economic productivity argument of the Report seriously. Given limited resources, why should the governments not decide to channel increased funds into those fields from which the graduates are likely to make the most money and pay the highest taxes? Or to carry the argument one step further, why not reduce the amounts of money now channelled into non-productive fields?

"There has been little evidence of the recognition of the gross inadequacy of the funds for research in the humanities and social sciences, *perhaps because the economic yield is less obvious and less certain*. The need here is very great if we are to play our part in the civilized world." (Italics added)

Who would disagree? But the recommendations of the Commission seem to reflect their concern with economic yield rather than their awareness of gross inadequacy. The recommendations to the Federal Government for research funds are as follows (including in each case a 20 per cent annual increase): \$40 million from the National Research Council for the physical sciences; \$20 million from the Medical Research Council for the medical sciences; \$15 million from the Canada Council for the humanities and social sciences. Now if it is recognized that the bulk of non-governmental research funds have been directed in the past, as have been governmental research funds, to areas other than the social sciences and humanities, why was there not a recommendation for a much larger Federal grant to bring the social sciences and humanities quickly to a minimum level of research competence? No one would argue for reducing the amounts recommended for the physical and medical sciences—but why perpetuate the inequalities? Perhaps it is because the Commission is not aware of the changes in the social sciences and humanities, but it is more probable that the Commissioners were mesmerized by their own arguments about economic yield.

Finally, while there is a clear and urgent need for more and better research in all disciplines, what about teaching? Once again, some attention is paid in the Report, at least implicitly, to the need for maintaining adequate faculty-student ratios. But much more emphasis

should have been placed upon financial support for good teaching. The "publish or perish" approach is rapidly invading Canada. Whether it will guarantee creative research is open to serious doubt, but there is much less doubt about the effect it will have upon teaching—and surely the basic reason why universities exist is for the teaching (in the broadest sense of the term) of young people. Surely the Commission was not unaware of the concern developing in some of the oldest, biggest and best universities of the United States about this problem, and certainly they must have had some knowledge of the as yet unco-ordinated groundswell of protest on the part of Canadian undergraduates about poor teaching. Good teaching is a function of many things; interest in students as individual human beings, time for reflection, access to knowledge, some creative research. But if all of the emphasis is to be placed on research, where is the need for universities in the traditional sense? Why should the researcher be diverted from his primary task by having to teach undergraduate students? The Commissioners might argue that the state of teaching was not their primary concern. Others would argue that there is no better basis upon which to recommend increased financial assistance for higher education in Canada.

Grant R. Davy
McMaster University

GROUP FLIGHTS TO EUROPE, 1966

CAUT has arranged the following group flights to Europe during the summer of 1966:

Round trip fare, Toronto - London: \$345.00

Round trip fare, Montreal - London: \$299.00

The dates arranged are:

Eastbound: June 9 — Westbound: August 18

Eastbound: June 22 — Westbound: September 5

Eastbound: July 4 — Westbound: September 5

Eastbound: July 13 — Westbound: August 18

The flights have been arranged by Finlay Travel Service, Toronto. Enquiries should be sent to the Head Office of CAUT, 77 Metcalfe Street, Ottawa.

NOTICE OF POSITIONS VACANT*

Laurentian University, Sudbury, Ontario: Department of Mathematics will appoint as of September 1, 1966, one Associate Professor and three Assistant Professors. Special interest in Real Variable, Modern Algebra, Applied Mathematics, Statistic and Numerical Analysis desirable. Applicants should write to Professor B. N. Lahiri, Head, Department of Mathematics, Laurentian University, Sudbury, Ontario.

Bishop's University, Lennoxville, Quebec: Department of Modern Languages. Applications are invited for the position of Lecturer or Assistant Professor, depending on qualifications. A candidate prepared to teach courses in both French and German is preferred, but one competent in German only will be considered. Applications should be sent to Professor E. H. Yarrill, Head of the Department of Modern Languages.

Social Science Research Council and the Humanities Research Council, 56 Sparks Street, Ottawa: A permanent appointment of a Senior Executive Officer in the office at 56 Sparks Street, Ottawa. Candidate should have experience of academic life in the humanities and in the social sciences and preferably be bilingual. Salary according to experience and qualifications.

Ontario Agricultural College, University of Guelph, Guelph, Ontario: The Department of Nutrition invites applications for the position of scientist. Salary range: for B.A., \$5,250 - \$6,300, or M.A., \$6,300 - \$7,500. Candidates should have a strong background in chemistry for biochemical research in metabolism and nutrition of mammals and birds. Address applications to the Head of the Department, Dr. S. J. Slinger.

University of Windsor, Windsor, Ontario. Department of History. Assistant or Associate Professor, fall, 1966; permanent position open; specialist in Modern European History (1500 to the present), to teach a survey undergrad. course and more specialized periods in the same area on graduate level: to conduct graduate seminars and direct theses research. Ph.D. and teaching experience required with some publishing. Minimum salary \$8,000 and \$10,000 for respective ranks. Fringe benefits. Applicants should write to Rev. Dr. D. J. Mulvihill, C.S.B., Head, Department of History.

* Notices of positions vacant are carried free of charge.

Faculty of Applied Science. Professor and Head of the Department of Civil Engineering: appointment to be effective September 1, 1966. Associate or Assistant Professor of Industrial Engineering: To initiate a new program at both graduate and undergraduate levels. Applicants should have Ph.D. and background in operations research. Appointment effective about July 1, 1966. Applications and correspondence should be directed to: Dr. J. Gordon Parr, Professor of the Faculty of Applied Science.

Université Laval, Québec, P.Q.: Geographer - Climatologist, Research Associate. Beginning January 1 or April 1, 1966. Salary from \$7,000 to \$8,000 depending on experience. Specialization at graduate level in Climatology or Meteorology and research experience required. Knowledge of French helpful but not necessary to the work. Duties: preparation of a Climatic Atlas. Initial contract for 2 years, but extension of climatological research programme anticipated. A new campus with excellent working facilities. Final date for application: January 1, 1966. Apply: Miss C. Wilson, Institut de géographie, Université Laval, Cité universitaire, Québec 10, P.Q.

Mount Allison University, Sackville, New Brunswick: The Department of Philosophy invites applications for the position of Lecturer, Assistant or Associate Professor, effective July 1, 1966. Interest in Greek and Medieval philosophy would be a recommendation. Salary dependent on qualifications and experience. Applications should be sent to Dr. C. F. Poole, Head of the Department.

West Kootenay Regional College situated near Castlegar, B.C. will open September 1966 to 500 students. The College will stress good teaching and will encourage an experimental approach to the curriculum. Positions (some as Head of Department) available: Chemistry, Mathematics, Physics, Botany, Biology, Economics, Geography, History, Psychology, Sociology, English, French, Russian, Philosophy, Electronics, Mechanical Engineering, Accounting and Finance, Forestry, Home Economics. Qualifications: Ph.D. or Master's Degree (or suitable professional equivalent). Appointments will be made immediately. Salary and duties will begin June or July, 1966. Starting salaries: up to \$10,000 (and beyond) depending on qualifications. Travel and removal grants available. Please send curriculum vitae to The Principal, West Kootenay Regional College, 1385 Cedar Ave., Trail, B.C.

Dalhousie University, Halifax, Nova Scotia: Department of Commerce. In preparation for early entry into the field of graduate studies the Department of Commerce is seeking to expand its staff for the 1966-67 session. The Department is primarily concerned to attract persons of high calibre, preferably with experience in the business world, whose interests are in the area of Applied Economics, Production, Distribution, Marketing, Industrial Relations, and Quantitative Measurement. It is prepared to adjust the courses it offers in order to accord with the particular experience and interests of the appointees. Commencing salaries and ranks will be by arrangement. Applications, with curriculum vitae and names of three referees, should be sent to: Professor R. S. Cumming, Head, Department of Commerce.

Brock University, St. Catharines, Ontario: Department of Chemistry: Applications are invited for the following appointments: Assistant Professor of Inorganic Chemistry; Assistant Professor of Physical Chemistry. Applicants should have research experience in at least one of the following areas: inorganic synthesis, determination of structures and properties of inorganic systems by physical methods, molecular spectroscopy, non-equilibrium thermodynamics, physical chemistry of macromolecules, theoretical chemistry. Appointments begin July 1, 1966. Applications, with curriculum vitae and names and addresses of referees, should be sent to: Professor E. A. Cherniak, Head of the Department, from whom information about the Department may be obtained.

The Department of Geography requires four full-time academic staff for the 1966-67 session onwards. Candidates must be Honours Graduates, preferably with research and/or teaching and/or practical experience in their chosen field. Applicants must offer either Climatology, Biogeography, Economic, Urban or Cultural Geography. They will be responsible for this aspect of Geography throughout the undergraduate program, and will be expected to contribute to the research programme of the Institute of Land Use. The ability to offer either regional, or cartographic courses would also be an advantage. Status and salary will depend on experience. Curriculum vitae, with three referees, to be received before December 31st. Further details from Dr. John N. Jackson, Head of the Department of Geography.

The Institute of Land Use will be inaugurating research programmes in the field of land use, land development and resource conservation from July 1966 onwards. A research team with a broad professional base

is required. Applicants should have an Honours Degree and/or Practical Experience in Geography, Urban Sociology, Applied Economics, Architecture, Regional Planning or other relevant field. Four appointments initially, at Junior or Senior levels, with status and salary depending upon experience. A graduate training program will be added. Appointees may also be invited to offer a course within their field for the benefit of the University. Further details, and curriculum vitae with three referees, before December 31st, to Dr. John N. Jackson, Director, Institute of Land Use, Brock University.

National Museum of Canada, Ottawa, Ontario: At least one position for a Canadian historian is open at the National Museum of Canada, and will remain so until filled. After 1966, the Museum expects to continue adding to its staff of Canadian historians at the rate of one a year for a few years. The duties are mainly research in all aspects of a special period or geographical area, including social and economic life. Other duties include: participation in the planning of historical exhibits; answering public enquiries; selecting and assessing research projects carried out under professional service contract by historians; giving some public lectures and suggesting others to be given by visiting lecturers. The basic qualification is graduate specialization in Canadian history, preferably to the Ph.D. level. Further information and application forms are obtainable from the Chief Historian, National Museum of Canada, Ottawa 4.

Trent University, Peterborough, Ontario. Applications are invited for the following teaching positions. (a) *Anthropology* (1) - Special competence in Social & Physical Anthropology required; (b) *Biology* (2) - (i) One position requires General Physiologist to teach both plant and animal physiology. Preference will be given to applicants having a special interest in physiological aspects of ecology. (ii) Second position requires specialist in Cytology and Genetics, who may be botanist or zoologist. Preference will be given to applicants having a special interest in population genetics or cytotaxonomy; (c) *Chemistry* (1) - Specialization in Organic Chemistry required; (d) *Economics* (1) - Special interest in international economics and statistical methods is preferred; (e) *English* (1) - Special competence in Old and Middle English, with broader interests, is desirable; (f) *French* (1) - Candidate must be thoroughly fluent in the language; (g) *German* (1) - Special competence in Modern German Literature required; (h) *History* (2) - (1) One position requires special competence in the history of Modern Continental Europe. (ii) Second position requires special competence

in Modern Britain or the Commonwealth; (i) *Mathematics* (1) - Special competence in algebra, functional analysis or topology preferred; (j) *Philosophy* (1); (k) *Physics* (2) - Applications from experimental nuclear, solid state or plasma physicists preferred; (l) *Politics* (2) - Fields preferred are: Political theory, parliamentary government, comparative government (including Soviet and East European institutions), Canadian government; (m) *Psychology* (1); (n) *Sociology* (2); (o) *Spanish* (1) - Special competence to teach grammar, composition, and oral Spanish required. Salary and level of appointment will be appropriate to qualifications and experience. Applications, including full *curriculum vitae* and names of three references, should be addressed to T. H. B. Symons, President and Vice-Chancellor, Trent University, Peterborough.

University of Alberta, Edmonton, Alberta: Department of Dairy and Food Science. Applications are invited for the post of Research Associate in Dairy Technology to lead a small research team to undertake investigation in butter and fluid milk. The position will be for a period of two years in the first instance and may be renewed on a permanent basis thereafter. The salary will be in the range of \$8,200-\$12,000 per calendar year, depending on the qualifications and experience of the applicant, who should preferably have a Ph.D. or the equivalent and research experience. The successful applicant will work in the Department of Dairy and Food Science and be responsible to the Head of the Department. He will have the facilities of the Department at his disposal, and will enjoy the social privileges accorded to academic staff, but will not (at least during the first two years) be entitled to join the University Superannuation Scheme. It is hoped that the successful applicant will be able to take up the position early in 1966. Applications should be sent to the Head, Department of Dairy and Food Science, and should include personal data, academic qualifications and experience, a list of published work, together with transcripts, names of four referees and a recent photograph.

McGill University, Macdonald College, P.Q.: The Department of Entomology has a vacancy for an Associate or Assistant Professor as from 1st. Jan. 1966 (although duties need not be taken up until Sept. 1966). Applicants should have research experience in terrestrial arthropod ecology (soil fauna preferred) and a sound knowledge of insect morphology. Duties will include instruction in these two fields at undergraduate and postgraduate levels, and the direction of graduate

student research. Write to Dr. D. K. McE. Kevan, Dept. of Entomology, Macdonald College, P.Q.

The University of Western Ontario, London, Ontario: Department of Anatomy. Applications are invited for appointments combining teaching and research in the Department of Anatomy of an expanding Health Sciences Centre. The department is responsible for instruction in gross anatomy, histology, oral histology, embryology, neuroanatomy and certain more specialized courses to students in several Faculties. Research encouraged. Rank and Salary commensurate with training and experience. Write, giving pertinent information, to Dr. M. L. Barr, Head, Department of Anatomy, Health Sciences Centre, University of Western Ontario.

Department of Physiology. Applications are invited for appointments combining teaching and research. This Department is responsible for instruction in general and mammalian physiology in graduate, medical, dental, Honors B.Sc. and other programmes. Research encouraged. Rank and salary commensurate with training and experience. Special consideration in at least one appointment for physiologist with dentistry background; and in another for a circulatory and/or respiratory physiologist. Write, giving pertinent information, to Professor J. A. F. Stevenson, Department of Physiology, Health Sciences Centre, University of Western Ontario.

Department of Zoology. Applications are invited for positions of Lecturer or Assistant Professor, for duties to commence July or September 1966. Preference would be given to applicants specializing in embryology, genetics, biometry, histology, fish physiology or invertebrate zoology, but consideration will be given to other specializations. Address application to Professor A. W. A. Brown, Head, Department of Zoology, University of Western Ontario.

University of Saskatchewan, Saskatoon, Saskatchewan: Department of English. Applications are invited for positions in the Department of English for the 1966-67 academic year. There will be vacancies at all ranks and the appointments made will depend upon the qualifications and experience of the applicants. Present salary minima for these ranks are: Instructor, \$6,000; Asst. Prof., \$8,200; Assoc. Prof. \$11,000; Prof., \$14,000. This scale is subject to upward revision. Teaching duties will normally be 9 hours a week (3 classes). Generous fringe benefits for permanent appointees. Tenure given to Asst. Profs. after 2 years of probation and to Assoc. Profs. and Profs. on first appointment. Appli-

cations particularly invited from scholars prepared to teach senior classes in Modern British Literature, Victorian English Literature, Romantic Period, the American Novel, Linguistics, and English as a Foreign Language. Applications should be made by letter and include curriculum vitae, names of three referees, a recent photograph, (and in the case of a person applying for an instructorship) a transcript of his academic record. Address applications to Professor Clarence Tracy, Head, Department of English.

University of Saskatchewan, Regina Campus, Regina, Saskatchewan: Applications are invited for the position of professor of French or Romance Languages. Candidates should have a Ph.D. or equivalent, some years teaching experience and scholarly accomplishment. Preference will be given to someone who could assume the responsibilities of a chairman of a modern languages programme. Salary, depending on qualifications and experience is: Professor, \$14,000; Associate Professor, \$12,000. Appointment expected to be July 1, 1966, but could be arranged earlier or later. Send applications or inquiries to Dr. H. H. Jack, Chairman, Humanities Division, University of Saskatchewan, Regina Campus.

External Aid Office, Ottawa, Ontario: University Teaching Assignments Overseas beginning in the academic year 1966-67. Applications are invited from those who are interested in university teaching positions under one of Canada's educational assistance programmes in South and South East Asia, Africa and the Caribbean Area. For further information, please write to: Education Division, External Aid Office, 75 Albert Street, Ottawa 4, Ontario.

Lakehead University, Port Arthur, Ontario: Applications are invited at all levels in the following specialties: *Arts* (Apply to Dean G. O. Rothney): Classics, Economics, English, French, Geography, German, History, Political Science, Psychology, Sociology, Speech Arts, Romance Languages, Russian. *Applied Science* (Apply to Director H. S. Braun): Architecture, Business Administration, Engineering, Forestry, Nursing. *Science* (Apply to Dean John Hart): Applied Mathematics, Biochemistry, Biology (General), Biophysics, Chemical Physics, Computer Science, Complex Analysis, Cytology, Geochemistry, Geology (General), Geophysics, Histology, History and Philosophy of Science, Inorganic Chemistry, Materials Science, Numerical Analysis, Physics (General), Physiology, Plant Morphology, Organic Chemistry, Mathematics (General), Solid State Physics, Statistics, Symbolic Logic, Theoretical Chemistry, Theoretical Physics.

University of Alberta at Calgary, Calgary, Alberta. Department of Psychology. Applications are invited for a number of new posts at the Professor, Associate and Assistant levels. Specialization in Sensory Processes, Psychometrics, Developmental or one of the fields of Learning preferred. Salary ranges: Professor \$15,100 or over; Associate \$11,350 - \$15,000; Assistant \$8,200 - \$11,250. Applications, which should include curriculum vitae, transcripts and names of three referees by February 1, 1966 to A. E. D. Schonfield, Department of Psychology, University of Alberta at Calgary, Calgary, Alberta.

University of New Brunswick, Fredericton, New Brunswick: Department of History and Anthropology. Lecturers, Assistant Professors, and Associate Professors, depending upon qualifications; four permanent positions open; one to teach courses in Anthropology, and three to teach courses in History in the fields of Modern European, Mediaeval, and Early Modern British and Commonwealth History; Doctors degree preferred, but Doctoral candidates considered. Write: A. G. Bailey, Vice-President (Academic), University of New Brunswick, Fredericton, New Brunswick, Canada.

NOTICE OF PERSONS AVAILABLE FOR APPOINTMENT*

Replies should be addressed to the relevant Box No., C.A.U.T. National Office, Room 603, 77 Metcalfe Street, Ottawa, Ontario.

Box 8, Geology: 30, B.Sc. First Class Honours (Queen's), M.Sc. (Queen's), Ph.D. (University of Wisconsin). 5 years industrial experience in mining geology, exploration geology, geochemistry and geophysics. Some teaching experience during graduate work. Teaching interests in economic geology, applied geochemistry, structural geology, general geology, mineralogy and optical mineralogy. Research interests in economic geology and geochemistry. Publications, references, and résumé on request. Available June 1966.

Box 10, Classics: Professor-emeritus of Classics, special interests Greek and Latin Literature and Classics in English, now fully employed and in excellent health, available for full or nearly full time teaching post, on annual basis.

* Notices of persons available for appointment are carried at \$2.00 for 40 words and \$3.00 for 50 words. Notices for insertion should be sent to the C.A.U.T. National Office.

- Box 11, Philosophy and Religion:* Assistant Professor of Philosophy and Religion. Ph.D. (Modern Philosophy); 5 years graduate study medieval, modern Christian theology, Biblical theology, World Religions; B.S. (Education, Humanities); B.A. (Ancient, Medieval Philosophy); 3 years graduate study Classics; 6 years College, University experience.
- Box 12, Political Science:* Egyptian woman, M.A. and Ph.D. from Duke University. One year teaching experience. Fields: political theory and comparative government. Linguistic facility in French as well as English. Seeks teaching position in Canada.
- Box 13, Library:* Young man, 25, with M.A. (History), and diploma in Library Science, at present working as Librarian in a college in India, wishes to find a job in any capacity in a college or university library in Canada.
- Box 14, Fine Arts:* Sculptor, graphic artist, M.A., male, married, 27; Assistant Professor in American university seeking position in Canada.
- Box 15, Romance Languages and Literature:* Professor of romance languages and literature (Spanish, Italian, French, Portuguese), Ph.D. Yale; M.A. Oxford. Field: Hispanic literature with concentration Spanish-American novel; Ford Faculty Fellow. 16 years experience, publications, presently Spanish American University, interested in permanent post first class university.
- Box 16, Physiology, Immunology or Endocrinology:* Physiologist-Immunologist, 42, Ph.D., Associate Professor, 12 years teaching and administrative experience in Medical School, strong chemical background, numerous publications, patents and memberships in learned Societies. Seeks senior position in Physiology, Immunology or Endocrinology, with adequate research facilities, in British Columbia, Washington, Oregon or California.
- Box 17, Sociology:* Ph.D. candidate, degree expected in one year, 3 years teaching experience, Introductory, Social-Problems, Social-Psychology. Seeks university teaching position. Assistant professor, paper presented, published; 40, married. Available spring 1966.
- Box 18, History:* M.A. (Ph.D. coursework completed) Canadian 19th Century. Experience: Two years teaching university level Canadian history and European early modern. Last position at Assistant Professor level. Bilingual (mother tongue English). Eastern Ontario or Montreal region preferred. Available 1966/67.

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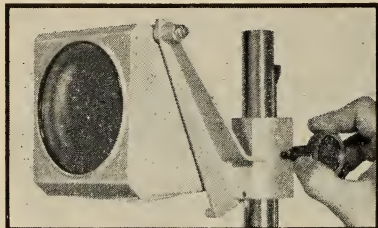
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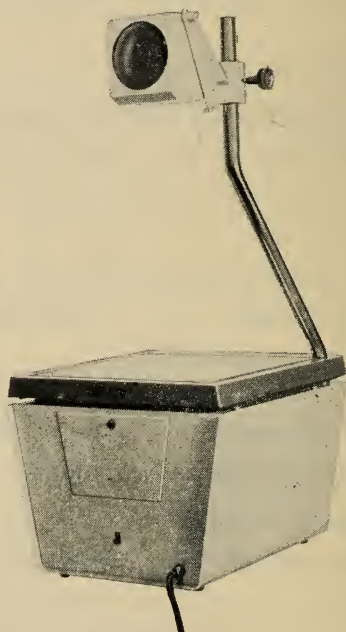
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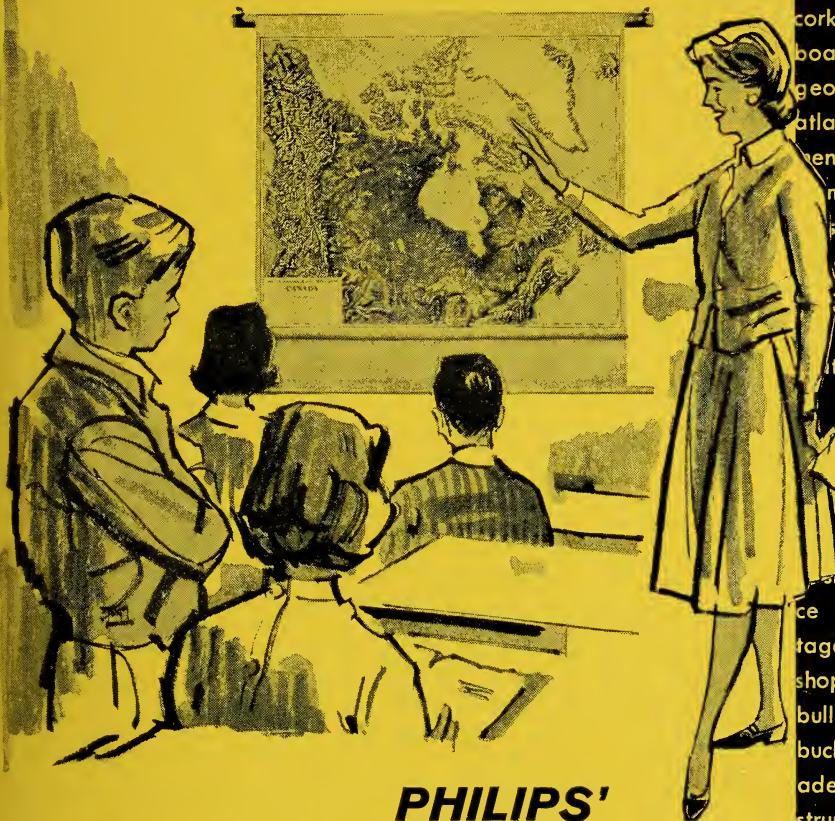


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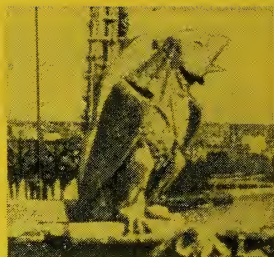
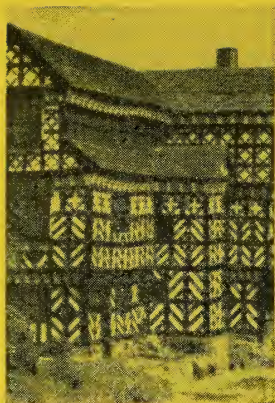
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